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Preparing the Army for Stability Operations

Doctrinal and Interagency Issues

Thomas S. Szayna, Derek Eaton, Amy Richardson

Prepared for the United States Army

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Preface

This monograph documents the results of a project entitled “Improving Army Doctrine and Planning for Stability Operations.” The project aimed to identify the evolving interagency guidelines and Joint concepts on stability operations from the perspective of drawing out potential guidance that may be under development for Army doctrine on stability operations and to assess the compatibility of ongoing work on Army doctrine for Joint stability operations.

The monograph should be of interest to those concerned with stability operations and, more specifically, to military personnel and civilians interested in the development of greater collaborative interagency capacity for planning and conducting stability and reconstruction operations. It also should be of interest to the Army and Joint doctrinal community concerned with stability operations. Information cutoff date for this document is March 2007.

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Summary

In 2004–2006, the U.S. government acted to revise the entire way that the planning and implementation of Stabilization, Security, Transition, and Reconstruction (SSTR) operations are conducted. The primary emphasis of the changes is on ensuring a common U.S. strategy rather than a collection of individual departmental and agency efforts and on mobilizing and involving all available U.S. government assets in the effort. The proximate reason for the policy shift stems from the exposing of gaps in the U.S. ability to administer Afghanistan and Iraq after the U.S.-led ousters of the Taliban and Ba’athist regimes. But the effort to create U.S. government capabilities to conduct SSTR operations in a more unified and coherent fashion rests on the deeper conviction that, as part of the U.S. strategy to deal with transnational terrorist groups, the United States must have the capabilities to increase the governance capacities of weak states, reduce the drivers of and catalysts to conflict, and assist in peacebuilding at all stages of pre- or post-conflict transformation. According to the Joint Operating Concept for Military Support to SSTR operations, these operations are civilian-led and conducted and coordinated with the involvement of all the available resources of the U.S. government (military and civilian), nongovernmental organizations (NGOs), and international partners. Although military assets are an essential component of many SSTR operations, specific military goals and objectives are only a portion of the larger SSTR operation.

Building Interagency Collaborative Capacity for SSTR Operations

In terms of the U.S. organizational-bureaucratic process, the effort to create a whole new way of thinking about SSTR operations has civilian and military components. Two founding documents, both signed in late 2005, gave the process direction. On the civilian and interagency side, National Security Presidential Directive 44 established a broad outline of the new approach and gave general guidelines as to the development of the interagency process regarding SSTR operations. On the military side, Department of Defense (DoD) Directive 3000.05 provided the structure to revamp the whole way that the armed forces plan, prepare, and execute SSTR operations.

In line with the guidelines of NSPD-44 and DoDD 3000.05, U.S. federal departments and agencies have launched an effort at implementation and compliance. We have observed a massive effort throughout the federal government to adjust to NSPD-44, although we also have observed that the Departments of State and Defense are most affected by the new guidelines and also most involved in the effort. The depth of the efforts and commitment to the NSPD-44 process differs among the other agencies and departments, although it is our observation that, at this stage, it generally remains at a superficial level. As mandated, the Office of the Coordinator for Reconstruction and Stabilization (S/CRS) is leading the interagency effort in planning for SSTR operations. We identified four basic pillars of the process of rethinking of SSTR operations at the interagency level from the perspective of implications for the Army and its development of SSTR capabilities.

The *U.S. Government Draft Planning Framework for Reconstruction, Stabilization, and Conflict Transformation*, Version 1.0, issued by the U.S. Joint Forces Command J-7 and the Office of the Coordinator for Reconstruction and Stabilization, Department of State (December 2005), allows for direct input by Army planners during the development of strategic planning for an SSTR operation and in translating these strategic plans into individual agency implementation plans at the task and activity levels. Especially in implementation planning, Army personnel may be engaged in a central fashion. To function effectively

in such contexts, Army personnel engaged in such processes will need to have good knowledge of relevant expertise in other agencies, the ability to work with such personnel, and a common language. This is essential, as the *Draft Planning Framework* stipulates a clear and broad role for ground forces in supporting SSTR operations.

The *Post Conflict Reconstruction Essential Tasks Matrix* (ETM), issued by the Office of the Coordinator for Reconstruction and Stabilization, Department of State (April 2005), is a compilation of individual tasks that, taken as a whole, are intended to support a country in transition from armed conflict or civil strife to sustainable stability. The value of the ETM is in imposing a common language and for choosing a set of missions that may then lead to the selection of appropriate agencies to implement the tasks. The ETM amounts to a list of tasks that conceivably may constitute an SSTR operation; some of these tasks may be assigned to Army forces engaged in support of the SSTR operation. Because the ETM provides a common interagency lexicon for developing missions, coming up with metrics, and defining outcomes, the list is of primary importance to the Army and thus it needs to be harmonized with Army doctrine and training. Much of our effort was devoted to this task (discussed below) by way of examining current and developing U.S. Army doctrine to explore whether and to what extent doctrinal gaps exist between the ETM and evolving Army doctrine on stability operations and to identify the potential doctrinal solutions to close the gaps.

The Interagency Management System (IMS) for Reconstruction and Stabilization, or the operational concepts, developed by the National Security Council and S/CRS, center on three types of civilian-military teams that would ensure a unity of effort of an SSTR operation. Together, these teams are designed to integrate civilians and the military during the planning and execution of conflict prevention, major combat operations, and post-conflict stability operations at the level of the Policy Coordinating Committee down to the tactical level. At the strategic-national level, the main steering group will be the Country Reconstruction and Stabilization Group (CRSG). At the strategic-theater level, the coordination group will be the Integration Planning Cell (IPC). Advance Civilian Teams (ACTs) will operate at

the operational and tactical levels. The three-team concept provides a strategic-to-tactical-level planning and coordination mechanism for SSTR operations. The IPC and ACTs will work directly with military personnel in planning and executing SSTR operations. The IPC especially may have a major role in military planning, as the team is tasked with ensuring that post-conflict reconstruction and stability objectives are taken into account during the planning for major combat operations. With its direct channel to the CRSG and the highest decision-making authorities, the IPC would have the means to effect change in combatant command (COCOM) plans. If the concept is implemented, Army personnel would have to work closely with IPC staff to ensure that the civilian staff understand the capabilities of Army units. Implementation of the concept also means that there would be a clear and close connection between ACTs and Army forces deployed for an SSTR operation. Besides acting as a “super-Provincial Reconstruction Team” in terms of the effect on transition and reconstruction, the ACTs would provide a venue for direct interaction and coordination between civilian-led efforts and military support to an SSTR operation. Since the ETM would be the common language describing tasks in an SSTR operation, Army forces will have to be fully conversant in the ETM terminology and aware of the planning structure (three-team concept) in an SSTR operation.

The *Military Support to Stabilization, Security, Transition, and Reconstruction Operations Joint Operating Concept (JOC)*, Version 2.0, U.S. Joint Forces Command, J-9 (August 2006) outlines the long-term concept of the military role in future SSTR operations. There is a broad scope to the JOC, in that it covers military roles in such actions as assisting fragile or failing states, assisting states facing modest internal challenges, administering occupied territory in the aftermath of forceful regime change, and helping stable governments face the consequences of a natural disaster. Although many of the details in the JOC are bound to be revised, its overall outlines are common with the S/CRS-sanctioned pillars and likely to remain in place and eventually be binding for the Army. In that sense, the JOC is important in expressing the Joint vision of SSTR operations and providing the basis for the Army’s future years force development process.

All of the above notwithstanding, the effort to redefine the U.S. approach to SSTR operations is still in its early stage of development; it is not a given by any means that the objectives outlined in NSPD-44 will come about, and basic problems associated with the startup of a fundamental change across U.S. government departments and agencies remain. We see the following issues as most important: availability of resources, appropriate personnel, definition of agency roles, and scope of common action. We note that most of these issues are recognized by the main stakeholders, although that recognition by itself does not necessarily mean that the issues are easily resolved or that a unity of views exists on how to resolve them.

From an organizational perspective, the stakeholder most interested in seeing the successful implementation of NSPD-44 and the evolution of S/CRS into a strong interagency coordinating body is the DoD. Within the DoD, the land forces (the Army and the Marine Corps) have the greatest interest in seeing S/CRS succeed, since the land forces, in particular the Army, are the main providers of the military capabilities required in SSTR operations. This stems from the fact that stability operations are labor-intensive and land-power-focused. Bringing in the capabilities of the civilian departments and agencies to carry out tasks in SSTR operations would reduce the demands on the Army. But the flip side of the preceding is that the Army is also in the position of having to prepare to step in should S/CRS not be able to meet some of its obligations and the process envisioned in NSPD-44 falls short of its goals. There is no choice in the matter because, as DoDD 3000.05 recognizes explicitly, SSTR operations may impose broad demands on the United States and the DoD will step up to meet them.

This leads to a basic dilemma for the DoD and the Army. If the DoD, and primarily the Army, continues to develop the capabilities to implement U.S. goals in SSTR operations, then the incentives are reduced for the civilian departments and agencies to participate in making their expertise and personnel available for potential SSTR operations, and the need for an office such as S/CRS may become less clear because the capability may be seen as redundant. Planning for the case where S/CRS plays a weak coordinating role may make this

all the more likely, despite the DoD's clear preference for this not to occur. However, assuming that NSPD-44 will be implemented fully is untenable, as appropriate capabilities by the armed forces may be lacking. Put more succinctly, the Army and the DoD are in the position of simultaneously trying to move forward the interagency process envisioned in NSPD-44 and planning to provide all the needed capabilities if the process fails to accomplish its stated objectives. Finally, although the Army has a great stake in the success of the process outlined in NSPD-44, it has limited leverage in influencing the overall interagency process. Put in terms of what is at stake, it is not yet a given that a lasting change toward an interagency approach to SSTR operations, as outlined in NSPD-44, will take place. The Army as an institution has some influence on the process, but ultimately this is a government-wide change that needs to happen.

We use a template, developed by the Government Accountability Office (GAO), of key practices crucial in assisting and sustaining collaborative efforts among government agencies to assess the extent of progress so far in building collaborative interagency capacity for SSTR operations and we then recommend how the Army can advance the interagency process. We find that basic elements that would encourage the success of the NSPD-44 process are not yet in place. Specifically, the initial four "key practices" have still not been developed sufficiently. These key practices are (1) define and articulate a common outcome, (2) establish mutually reinforcing or Joint strategies, (3) identify and address needs by leveraging resources, and (4) agree on roles and responsibilities.

Army Doctrine in the Context of Interagency SSTR Operations

Since the ETM articulates the potential interagency tasks to be accomplished during an SSTR operation, it is essential that the Army be doctrinally prepared to support the ETM. We examined the extent to which current and emerging U.S. Army doctrine supports the essential tasks identified by the ETM as being required to establish a safe and

secure environment during SSTR operations (one of five S/CRS ETM technical sectors).¹ We focused on the security mission because it is the one that U.S. ground forces, primarily the Army and the Marine Corps, are uniquely capable of conducting and they are bound to have a lead role in the mission. “Translating” the essential tasks in the ETM security technical sector into Army Tactical Tasks (ARTs) and aligning the ETM essential tasks with existing ARTs allowed us to identify key insights regarding existing and emerging SSTR operations doctrine, pointed out the potential gaps in Army doctrine relating to SSTR operations, and led us to propose doctrinal solutions.

We identified three main insights. First, although the new FMI 3-07 is a step forward in terms of integrating many SSTR operations concepts into emerging Army doctrine, past experience suggests that it is important to ensure that supporting doctrine and tactics, techniques, and procedures (TTPs) are developed as needed to provide the practical foundation for higher-level doctrinal concepts. Second, although critical ETM task areas are beginning to be addressed in emerging doctrine (as we currently understand it), there remain several areas that are insufficiently supported by emerging doctrine. These areas include the key tasks of civil protection, border control, the provision of law and order to host nation populations, and the development of host nation security forces. In addition, essential concepts, such as civil security, need to be developed further and broadly incorporated into Army doctrine. Finally, the Army Universal Task List (AUTL) hierarchy and associated ART definitions need to be adjusted to account for the formal elevation of SSTR operations to be a coequal of major combat operations.

Modifying Army doctrine in line with the ETM and preparing Army personnel for dealing with the proposed civilian teams will improve interagency effectiveness in potential future SSTR operations as well as give the Army greater input in the interagency process. Doctrinal change is essential, as it will drive changes in training and the

¹ The five technical sectors are (1) security, (2) governance and participation, (3) humanitarian assistance and social well-being, (4) economic stabilization and infrastructure, and (5) justice and reconciliation.

other dimensions of doctrine, organization, training, materiel, leadership and education, personnel, and facilities (DOTMLPF).

Recommendations

U.S. participation in SSTR operations will remain a persistent feature of U.S. defense policy. Whatever the term used to describe these types of operations, the United States, throughout its history, has used its power in a way currently referred to as SSTR operations, and these operations can determine the success or failure of the larger U.S. objectives in the conflict. In this context, developing greater interagency capacity for SSTR operations is an overall goal that will retain resonance, regardless of the specific and frequently shifting bureaucratic-organizational responsibilities related to SSTR operations. Currently, there is an opportunity for the Army to deepen the collaborative interagency capacity for SSTR operations, although the window of opportunity may be closing, as we note there is creeping “SSTR fatigue.”

Our recommendations fall into three categories. One, in terms of influencing the direction of interagency collaboration, the Army can act as a catalyst in working out the strategic vision, the roles of specific agencies, and the integration of the capabilities of various agencies in planning and executing SSTR operations. The Army also can use its expertise in detailed planning and familiarity with SSTR operations to assist S/CRS in working out a plan of action, ensure coordination, develop metrics, and provide periodic assessments of progress in building collaborative capacity for SSTR operations. The Army’s educational and research institutes can play a major role in the process.

Two, in terms of improving direct Army cooperation with civilians in operational settings, the Army can draw on its experience with Provincial Reconstruction Teams (PRTs) in Afghanistan and similar teams in the Balkans to contribute to design of a template for the ACTs. This might take the form of identifying the standard elements of a PRT, the additional assets that may be required depending on the demographic and economic characteristics of the province, and a methodology for determining the appropriate skill sets and capabilities that

might be required. The above applies especially to ACTs, but identifying the skill sets required also would drive the composition of the IPC and the CRSG. In addition, the Army can take the lead in developing concepts and standard terminology that would be binding for inter-agency actors in SSTR operations. U.S. Army Training and Doctrine Command (TRADOC) (especially the Army Capabilities Integration Center [ARCIC]) and the Peacekeeping and Stability Operations Institute (PKSOI) (relying on resources at the Center for Army Lessons Learned (CALL)) can play a major role in these endeavors.

Finally, there is a multitude of specific recommendations that the Army needs to consider when it comes to revising its doctrine on SSTR operations and, conversely, in ensuring that the ETM adequately represents the tasks that may be required in SSTR operations. Among the most important, the Army needs to consider developing appropriate supporting doctrine and TTPs to ensure that the emerging SSTR-related concepts are successfully executed and internalized by the Army's operational forces. We propose 48 specific steps (listed in Chapter Four) that the Army can take to achieve greater compatibility of its doctrine with the emerging interagency thinking on tasks in the security sector of SSTR operations.

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Abbreviations

ABCA	American, British, Canadian, and Australian Armies' Standardization Program
ACT	Advance Civilian Team
AKO	Army Knowledge Online
ANG	Army National Guard
ARC	Active Response Corps
ARCIC	Army Capabilities Integration Center
ART	Army Tactical Task
AUSA	Association of the United States Army
AUTL	The Army Universal Task List (FM 7-15)
AWC	Army War College
BCT	Brigade Combat Team
BOP	balance of payment
C2I	command, control, and intelligence
CAC	Combined Arms Center
CADD	Combined Arms Doctrine Division
CALL	Center for Army Lessons Learned
CID	Criminal Investigations Division (Army)
CJCS	Chairman of the Joint Chiefs of Staff
CMOC	Civil-Military Operations Center
CMPT	Civilian Military Planning Team
COCOM	combatant command

COIN	counterinsurgency
CRSG	Country Reconstruction and Stabilization Group
CSB (ME)	Combat Support Brigade (Maneuver Enhancement)
CSIS	Center for Strategic and International Studies
DART	Disaster Assistance Response Team
DCHA	Bureau of Democracy, Conflict and Humanitarian Affairs
DDR	disarmament, demobilization, and reintegration
DOTMLPF	doctrine, organization, training, materiel, leadership and education, personnel, and facilities
DoD	Department of Defense
DoS	Department of State
DRAG	Doctrinal Review and Approval Group
EOD	explosive ordnance disposal
ETM	Essential Tasks Matrix
ET	essential task
FACT	Field ACT [Advance Civilian Team]
FD05	Fuertes Defenzas 2005
FM	field manual
FS	fostering sustainability
GAO	Government Accountability Office
GCC	Geographical Combatant Command
GSP	Generalized System of Preferences
HRST	Humanitarian, Reconstruction and Stabilization Team
HQ	headquarters
IA	interagency
IDA	Institute for Defense Analyses

IDP	internally displaced person
IFC	International Finance Corporation
IFI	International Financial Institutions
IMF	International Monetary Fund
IMS	Interagency Management System (for Reconstruction and Stabilization)
IPC	Integrated Planning Cell
IR	immediate response
ISR	intelligence, surveillance, and reconnaissance
IT	Information technology
JCA	Joint Capability Area
JCS	Joint Chiefs of Staff
JFC or JFCOM	Joint Forces Command
JIACG	Joint Interagency Coordination Group
JOC	Joint Operating Concept
LOC	line of control, Line of Communication
MANSCEN	U.S. Army Maneuver and Support Center
MLT	Multilateral
MME	major mission element
MP	Military Police
NBC	Nuclear, Biological, Chemical
NGO	nongovernmental organization
NSC	National Security Council
NSPD	National Security Presidential Directive
NSS	National Security Strategy
OEF	Operation Enduring Freedom
OIF	Operation Iraqi Freedom
OMA	Office of Military Affairs
OMB	Office of Management and Budget
OP	observation post

OPM	Office of Personnel Management
PCC	Policy Coordination Committee
PDD	Presidential Decision Directive
PE	peace enforcement
PK	peacekeeping
PKSOI	Peacekeeping and Stability Operations Institute
POLAD	Political Advisor
POW	prisoner of war
PRT	Provincial Reconstruction Team
RSO	Reconstruction and Stabilization Operations
S/CRS	Office of the Coordinator for Reconstruction and Stabilization
SME	Small and Medium Enterprise
SOCOM	Special Operations Command
SOE	State-Owned Enterprises
SO/LIC	Special Operations and Low-Intensity Conflict
SSTR	Stabilization, Security, Transition, and Reconstruction
T	transformation
TRADOC	U.S. Army Training and Doctrine Command
TTP	tactics, techniques, and procedures
UJTL	Universal Joint Task List
USAID	U.S. Agency for International Development
USAMPS	U.S. Army Military Police School
USG	U.S. government
USJFCOM	U.S. Joint Forces Command
UXO	unexploded explosive ordnance
WMD	weapons of mass destruction

Introduction

The Context

In 2004–2006, the U.S. government acted to revise the entire way that the planning and implementation of Stabilization, Security, Transition, and Reconstruction (SSTR) operations are conducted. The primary emphasis of the changes is on ensuring a common U.S. strategy rather than a collection of individual departmental and agency efforts and on mobilizing and involving all available U.S. government assets in the effort. The proximate reason for the policy shift stems from the exposing of gaps in U.S. ability to administer Afghanistan and Iraq after the U.S.-led ousters of the Taliban and Ba’athist regimes. By all accounts, these gaps in U.S. capabilities have contributed to the inability of successor regimes to accomplish successfully the transition to legitimacy, accountability, and good governance and have led to the continuing use of U.S. military forces in stabilization operations in both countries. The more basic reason for the policy shift is the conviction that weak regimes and poor governance create conditions that can be exploited by violent groups with interests inimical to those of the United States.¹ Thus, the effort to create U.S. government capabilities to conduct SSTR operations in a more unified and coherent fashion rests on the deeper conviction that, as part of the U.S. strategy to deal with transnational terrorist groups, the United States must have the

¹ *National Security Strategy of the United States of America* (2002), p. 1. *National Security Strategy* (2006, p. 1) has similar language regarding the need for effective governance as a means of assuring U.S. security.

capabilities to increase the governance capacities of weak states, reduce the drivers of and catalysts to conflict, and assist in peacebuilding at all stages of pre- or post-conflict transformation.

The rethinking is of fundamental importance for U.S. ability to project power abroad against state and nonstate actors. If the effort to reorient the way that the United States amasses its resources for SSTR operations is successful, it will allow post-conflict strategic considerations to influence the conduct of major combat operations against state actors and it will harness U.S. resources in post-conflict stability operations in a more concerted fashion. Against nonstate actors, the effort will allow the full range of U.S. government capabilities to be brought to bear in a more unified fashion to assist regimes under threat or to make more difficult the position of transnational groups hostile to the United States.

The use of the term SSTR to describe these types of operations is important in comprehending fully the scope of the effort. According to Joint conceptual documents, SSTR operations are civilian-led and conducted and coordinated with the involvement of all the available resources of the U.S. government (military and civilian), nongovernmental organizations (NGOs), and international partners. Although military assets are an essential component of many SSTR operations, specific military goals and objectives are only a portion of the larger SSTR operation. The following set of definitions, taken from the *Military Support to Stabilization, Security, Transition, and Reconstruction Operations Joint Operating Concept* (U.S. Joint Forces Command, August 2006c), provides an explanation of the term.

The central elements of SSTR operations that are conducted to assist a state or region under serious stress are: stabilization, security, transition, and reconstruction. **Stabilization** involves activities undertaken to manage underlying tensions, to prevent or halt the deterioration of security, economic, and/or political systems, to create stability in the host nation or region, and to establish the preconditions for reconstruction efforts. **Security** involves the establishment of a safe and secure environment for the local populace, host nation military and civilian organizations as well as USG [U.S. government] and coalition agencies,

which are conducting SSTR operations. **Transition** describes the process of shifting the lead responsibility and authority for helping provide or foster security, essential services, humanitarian assistance, economic development, and political governance from the intervening military and civilian agencies to the host nation. Transitions are event driven and will occur within the major mission elements (MMEs) at that point when the entity assuming the lead responsibility has the capability and capacity to carry out the relevant activities. Finally, **Reconstruction** is the process of rebuilding degraded, damaged, or destroyed political, socioeconomic, and physical infrastructure of a country or territory to create the foundation for longer-term development.² [Emphasis in original.]

The fact that there were lengthy discussions within the Department of Defense (DoD) and the services about the proper term to describe SSTR operations is indicative of the larger debates about the scope of the problem being discussed and its relationship to other military—mainly Army—missions.

Objectives and Organization

“SSTR operations” is an interagency term, though it is used primarily by DoD. The activities conducted by the Army in support of an SSTR operation are concentrated in the Army’s concept of stability operations, in itself a component of the Army’s full-spectrum operations (these concepts are explained in depth in Chapter Three). Provision of security is a major component of stability operations. As such, stability operations in support of SSTR operations are labor-intensive and land-power-focused. The Army, as the primary provider of U.S. land power, provides most of the U.S. military capabilities for SSTR operations. Given the demands for SSTR capabilities as part of the U.S. strategy to deal with transnational terrorist groups, the Army has great interest in ensuring that its forces can act effectively in an interagency

² U.S. Joint Forces Command (2006c), pp. 2–3.

(and coalition) context in SSTR operations. Consequently, the Army asked the RAND Arroyo Center to examine the issue of the Army's adaptation to the evolving U.S. interagency guidelines regarding SSTR operations. The research sought to identify the doctrinal and organizational implications of DoD, Joint, and interagency guidelines for the Army and assess the compatibility of ongoing work on Army doctrine for Joint and interagency SSTR operations. Although the rethinking of the whole way of conducting SSTR operations has implications for the entire Army, we focus specifically on the doctrinal aspects. We do so because the Army is a doctrine-based organization and, for lasting change and effects on training and all other aspects of DOTMLPF (Doctrine, Organization, Training, Materiel, Leadership and Education, Personnel, and Facilities), doctrinal change is a necessary starting point.

Specifically, the project had the following objectives:

1. identify the main directions of rethinking of SSTR operations at the Joint and interagency levels
2. examine the Army's doctrinal development regarding SSTR operations
3. assess any discrepancies between interagency and Army thinking about SSTR operations and provide options to the Army on how it can comply more effectively with the demands of potential future SSTR operations in an interagency context.

This report presents the results of our analysis.

We address the first objective in Chapter Two. We provide a top-down perspective, looking at the overall rethinking of SSTR operations, and draw out the implications of that process for the Army. We also identify the interagency issues that have come up in the process of rethinking the U.S. approach to SSTR operations. Our assessment is informed through an examination of executive and agency-level directives and supplemented by discussions with State Department and Defense Department personnel engaged in the SSTR area, including the following: Office of the Coordinator for Reconstruction and Stabilization, United States Agency for International Development (both

under the State Department), as well as the Office of Stability Operations in the Office of the Secretary of Defense and the U.S. Joint Forces Command (JFC). Although there has been a great deal of attention to the topic of SSTR operations, it is not a given that the process of building collaborative interagency capacity for SSTR operations outlined in National Security Presidential Directive 44 (NSPD-44) (*Management of Interagency Efforts Concerning Reconstruction and Stabilization*, December 7, 2005)³ will succeed in reaching its stated objectives. We use a template to assess the extent of interagency collaborative capacity for SSTR operations and we provide some recommendations on how the Army can advance the interagency process. We do so because it is our basic observation that the Army is the service that provides the bulk of U.S. military capabilities in support of SSTR operations, evolving interagency guidelines have the potential to expand greatly the demands placed upon the Army for supporting SSTR operations, and thus the Army as an institution has a major stake in seeing greater interagency collaborative capacity for SSTR operations.

We address the second and third objectives in Chapter Three. In that chapter, we take a bottom-up approach, focusing on the steps the Army can take internally to advance its compatibility with the larger interagency processes regarding SSTR operations. We focus on the Essential Tasks Matrix (ETM), a lengthy list of tasks in SSTR operations that has become the standard organizing tool for a division of labor at the interagency level and for assignment of responsibilities in future SSTR operations. Our analysis is informed through an examination of current and evolving Army doctrine relating to SSTR operations and supplemented by discussions with staff in the Army doctrinal community, including the following: Combined Arms Doctrine Directorate, Maneuver Support Integration Division (part of the Maneuver Support Center), Military Police School Doctrine Division, and Army Engineer School Doctrine Division, all of which are a part of the U.S. Army Training and Doctrine Command. We “translate” the Essential Tasks Matrix into a form usable by the Army and then we identify specific differences and inconsistencies between the Essential Tasks

³ For the text of the directive, see National Security Presidential Directive 44 (2005).

Matrix and current and evolving Army doctrine. We provide recommendations for changes in Army doctrine as well as changes that the Army might suggest for the Essential Tasks Matrix. We concentrate on doctrinal solutions for the Army because of the importance of doctrine in DOTMLPF and the fact that any lasting change in training first has to come from doctrinal changes. We focus on the security sector of the ETM, as that is potentially a major force driver for the Army and it is the one sector where the DoD (and, in actual implementation, the land forces—especially the Army) is going to be the lead agency.

We sum up our findings and provide overall conclusions and recommendations in Chapter Four. Since the pace of interagency activities and Army doctrine regarding SSTR operations is moving fast, in that chapter we take a mid- to long-term view, focusing on the general direction of rethinking of SSTR operations, the issues and problems encountered, and the implications of the overall process for the Army.

The research and analysis for this project began in the fall of 2005 and ended in the fall of 2006. Project team members presented the findings contained in this report to Army and DoD staff in September 2006. A draft version of this report was published in November 2006. After a formal review process, the report was revised and updated selectively. Updates include main developments in evolution of interagency collaboration, although specific doctrinal developments were not updated beyond the November 2006 information cutoff date. The overall information cutoff date for this report is March 2007.

Building Interagency Collaborative Capacity for SSTR Operations

Introduction

This chapter has a twofold purpose. One, it provides an overview of the main directions in the rethinking of SSTR operations in 2004–2006 at the interagency level (as well as at the Joint and DoD levels) of the U.S. government. We identify the main policy decisions, describe the steps taken to implement them, and note the remaining issues concerning their implementation. The purpose of the overview is to draw out the potential guidance that may have structural and organizational ramifications for the Army and its role in support of SSTR operations.

Two, it assesses the current state of building interagency collaborative capacity for SSTR operations. We rely on recent insights in public administration literature and key practices of successful interagency collaboration to structure our assessment. It is our basic observation that the Army has a great deal at stake in ensuring that the interagency process succeeds in building interagency capacity for SSTR operations. However, the Army has limited leverage over the process. We note in our assessment specific Army options for influencing the process and pushing it forward.

Main Directions in Rethinking of SSTR Operations

In terms of the U.S. organizational-bureaucratic process, the effort to create a whole new way of thinking about SSTR operations has civilian

and military components. Two founding documents, both signed in late 2005, gave the process direction. On the civilian and interagency side, NSPD-44 established a broad outline of the new approach and gave general guidelines as to the development of the interagency process regarding SSTR operations. On the military side, Department of Defense Directive 3000.05 provided the structure to revamp the whole way that the armed forces plan, prepare, and execute SSTR operations. Each is described in more detail below.

A variety of studies in early 2004 noted the lack of effective mechanisms in the U.S. government to coordinate and plan for post-conflict stability operations.¹ Consequently, in April 2004, the National Security Council tasked the State Department to form a central interagency coordination office to fill the identified shortcoming. The Office of the Coordinator for Reconstruction and Stabilization (S/CRS) was set up on July 1, 2004, with the coordinator reporting directly to the Secretary of State. The mission of S/CRS is “To lead, coordinate and institutionalize U.S. Government civilian capacity to prevent or prepare for post-conflict situations, and to help stabilize and reconstruct societies in transition from conflict or civil strife, so they can reach a sustainable path toward peace, democracy and a market economy.”² NSPD-44 named the Secretary of State as the lead office to “coordinate and lead integrated United States Government efforts, involving all U.S. Departments and Agencies with relevant capabilities, to prepare, plan for, and conduct stabilization and reconstruction activities.”³ NSPD-44 called for coordination between the Secretaries of Defense and State during any plans for SSTR operations. The directive also provided for a wide range of tasks that the Secretary of State may assign and delegate to the Coordinator for Reconstruction and Stabilization. NSPD-44 called on each U.S. department and agency to prepare, develop plans, and train personnel for participation in SSTR operations. On the civil-

¹ Orr (2004); U.S. Department of State (2004); Perito, Dziedzic, and DeGrasse (2004); and Binnendijk and Johnson (2004). Also see the sections on interagency capacity and stability operations (Chapter 8) in Murdoch et al. (2004).

² From S/CRS mission statement (U.S. Department of State, 2006a).

³ For the text of NSPD-44, see National Security Presidential Directive 44 (2005).

ian and interagency side, NSPD-44 is a fundamental set of guidelines that provides a structure for rethinking the conduct of SSTR operations by the United States.

The concepts and plans to create greater U.S. government capabilities for SSTR operations did not start in a vacuum. They built on U.S. attempts in the 1990s to improve U.S. capabilities for peace operations. U.S. participation in humanitarian and peace operations in Somalia, Haiti, Bosnia-Herzegovina, Kosovo, and East Timor brought up many of the same problems of planning for and coordinating efforts aimed at peacebuilding and conflict resolution that the United States faces in Iraq and Afghanistan. Presidential Decision Directive 56 (PDD-56, *Managing Complex Contingency Operations*, May 1997),⁴ put forth new interagency coordination planning and implementation mechanisms for peace and stability operations in an attempt to integrate U.S. government efforts in peace operations. In fact, NSPD-44 supersedes PDD-56. Presidential Decision Directive 71 (PDD-71, *Strengthening Criminal Justice Systems in Support of Peace Operations*, February 2000),⁵ focused on civilian law enforcement capabilities and the role of federal agencies and departments in coordinating and providing such assets in peace operations. Neither PDD was implemented fully, but they began the process of focusing on interagency planning and coordination in peace and stability operations. Moreover, a good deal of analysis and assessment that accompanied these PDDs remains relevant.⁶

In response to the ongoing challenges of stability operations, the DoD, the military departments, and the unified commands put into action a variety of organizational and conceptual changes in 2004–2005. The Office of the Secretary of Defense in early 2004 instructed the Chairman of the Joint Chiefs of Staff (CJCS), Special Operations Command (SOCOM), and the military departments to adjust doctrine, organization, and training to ensure competency in stability

⁴ For the explanatory paper that accompanied the PDD, see *The Clinton Administration's Policy on Managing Complex Contingency Operations: Presidential Decision Directive* (1997).

⁵ For the explanatory paper that accompanied the PDD, see *The Clinton Administration White Paper on Peace Operations: Presidential Decision Directive 71* (2000).

⁶ Examples include Lidy and Packer (1999); Lidy et al. (2001); and Pirnie (1998).

operations. As the service most directly involved in ongoing operations, and to improve its capabilities for stability operations, the Army established Stability Operations as a focus area to “identify and implement initiatives to increase Army capabilities to plan and conduct stability operations in a joint, interagency and multinational context”⁷ and then developed a list of 25 issues for implementation across the Army’s major commands. Since its creation, this area of the Army has continued to grow in its manpower and resources. But the crucial DoD-level instruction is the U.S. Department of Defense Directive 3000.05 (*Military Support for Stability, Security, Transition, and Reconstruction (SSTR) Operations*, November 28, 2005), which provided an overall vision for the DoD’s role in SSTR operations, greatly increased their salience within the DoD, and set out guidelines for action within the DoD and the military departments. The directive states:

It is DoD policy that . . . (4.1) Stability operations are a core U.S. military mission that the Department of Defense shall be prepared to conduct and support. *They shall be given priority comparable to combat operations and be explicitly addressed and integrated across all DoD activities including doctrine, organizations, training, education, exercises, materiel, leadership, personnel, facilities, and planning.* [Emphasis added.]

The directive tasked the Under Secretary of Defense for Policy, in coordination with the Chairman of the Joint Chiefs of Staff, to ensure DoD coordination with S/CRS or any successor organization. Consequently, the Office of the Deputy Assistant Secretary of Defense for Stability Operations was set up in the Office of the Assistant Secretary of Defense, Special Operations and Low-Intensity Conflict (SO/LIC), a component of the Office of the Under Secretary of Defense for Policy.

The directive tasked the military departments to develop SSTR capabilities (section 5.11.2) and instructed them to support interagency requests for personnel and assistance (section 5.11.7). In addition, DoDD 3000.05 established a wide set of requirements for the armed forces in SSTR operations:

⁷ U.S. Army (2005).

It is DoD policy that . . . (4.3) Many stability operations tasks are best performed by indigenous, foreign, or U.S. civilian professionals. Nonetheless, *U.S. military forces shall be prepared to perform all tasks necessary to establish or maintain order when civilians cannot do so.* [Italics added.] Successfully performing such tasks can help secure a lasting peace and facilitate the timely withdrawal of U.S. and foreign forces. Stability operations tasks include helping:

- Rebuild indigenous institutions including various types of security forces, correctional facilities, and judicial systems necessary to secure and stabilize the environment;
- Revive or build the private sector including encouraging citizen-driven, bottom-up economic activity and constructing necessary infrastructure; and
- Develop representative governmental institutions.

On the military side, DoDD 3000.05 is a fundamental set of guidelines that provides a structure for rethinking the scope of military support to SSTR operations by the United States.

In line with the guidelines of NSPD-44 and DoDD 3000.05, U.S. federal departments and agencies have launched an effort at implementation and compliance. We have observed a massive effort throughout the federal government to adjust to NSPD-44, although we also have observed that the Departments of State and Defense are most affected by the new guidelines and also most involved in the effort. The depth of the efforts and commitment to the NSPD-44 process differs among the other agencies and departments, although it our observation that, at this stage, it generally remains at a superficial level. As mandated, S/CRS is leading the interagency effort in planning for SSTR operations.

Below, we note the four basic pillars of the process of rethinking SSTR operations at the interagency level from the perspective of implications for the Army and its development of SSTR capabilities. The four pillars are

- *U.S. Government Draft Planning Framework for Reconstruction, Stabilization, and Conflict Transformation*, version 1.0, issued by the U.S. Joint Forces Command J-7 and the Office of the Coordinator for Reconstruction and Stabilization, Department of State, December 2005
- *The Post Conflict Essential Tasks Matrix (ETM)*, issued by the Office of the Coordinator for Reconstruction and Stabilization, Department of State, April 1, 2005⁸
- “Interagency Management System (IMS) for Reconstruction and Stabilization,” operational concepts, developed by the National Security Council and the Office of the Coordinator for Reconstruction and Stabilization, Department of State, that center on three types of civilian-military teams⁹
- *Military Support to Stabilization, Security, Transition, and Reconstruction Operations Joint Operating Concept (JOC)*, version 2.0, U.S. Joint Forces Command, J-9, August 2006.

All of these are “living documents” or concepts that will be revised regularly and developed further. That said, all four represent important aspects of an effective planning and execution process for SSTTR operations. We recognize that specifics will change, but the intent behind these pillars—and probably their main elements—will remain. We identified these four documents or concepts as pillars on the basis of our discussions with State and Defense Department personnel in the first half of 2006, the role of leading organizations in the process of rethinking SSTTR operations, and the specific naming of some of these documents as points of departure for further interagency concept development, training, and analysis.¹⁰ Each of these pillars is discussed

⁸ ETM is posted on the S/CRS site (U.S. Department of State, 2005b).

⁹ U.S. Department of State (n.d.c).

¹⁰ The *Draft Planning Framework* is a basic point-of-departure document. It is referred to as such in the document’s preface. It also lists the ETM and an as-yet-unpublished document that discusses metrics to assess performance in SSTTR operations as the other basic conceptual document. The IMS operational concepts were identified by S/CRS staff (in discussions with the RAND Arroyo team) as a cornerstone of the way that SSTTR operations will be put into practice in the future. S/CRS staff also pointed to the *Draft Planning Framework* and

below along the following lines: description of the document/concept and implications for the Army.

U.S. Government Draft Planning Framework for Reconstruction, Stabilization, and Conflict Transformation

The *Draft Planning Framework*, jointly authored by S/CRS and U.S. Joint Forces Command's (USJFCOM's) Joint Warfighting Center, J-7, presents an interagency planning process for SSTR operations with a goal of encouraging better interagency coordination and laying a foundation for civil-military planning for these engagements. The proposed integrated planning process spans the breadth of preparing for an operation, including "problem or conflict assessment, the formulation of overarching policy goals, the development of strategies that include necessary and sufficient major mission elements and essential tasks required to achieve the goals, metrics to measure progress, clear assignment of lead agency responsibility for tasks, and the building of a comprehensive resource plan."¹¹

Description. As outlined in the *Draft Planning Framework*, the planning process can be triggered by a State Department Regional Bureau Assistant Secretary requesting support from the S/CRS for conflict transformation planning for a specific country or region, by other agencies requesting assistance from S/CRS (such as by a geographic combatant command submitting a request for planning assistance via the Secretary of Defense), or by the creation of a Country Reconstruction and Stabilization Group (CRSG). With these various triggers, civilian planning can fall under the authority of National Security Council (NSC) interagency bodies, a State Regional Bureau, or the Secretary of Defense. Whatever the trigger, the result is the identification of a Strategic Planning Team.

Once triggered, the planning process has three parts. First, through the Strategic Planning Team, S/CRS leads an assessment and

the ETM as the other cornerstones. We chose the SSTR JOC as the fourth pillar because it is closely tied to S/CRS concepts and so far provides the only broad perspective on the military role in SSTR operations.

¹¹ U.S. Joint Forces Command and U.S. Department of State (2005), p. 12.

policy formulation process. The situation assessment includes working with major stakeholders—both internal USG agencies and external actors including NGOs, international organizations, foreign governments, and think tanks—to synthesize existing information and identify unanswered key policy questions and areas of debate. Depending on the extant information, the Strategic Planning Team will determine the needs for filling in information gaps—including potentially a full-scale assessment. The Strategic Planning Team then identifies the policy goal, MMEs, and essential tasks (ETs) that fill in the first draft of the Planning Template, which is a one-page diagram showing how these components are interrelated. Drafting the Planning Template is an iterative process. The Planning Template, a Planning Template Narrative, or a Policy Guidance Memo that outlines the policy goal and MMEs is submitted to the Deputies Committee or Principals Committee for approval.

Second, the approved Planning Template then informs the development of strategic planning. The Strategic Planning Team identifies planning teams to develop a strategy for each MME. The MME Planning Teams, with members from key actors in the interagency community, combine regional, sectoral, and functional expertise. This strategy development is designed to facilitate interagency coordination and use the various agencies' capabilities. This step includes the development of a comprehensive list of essential tasks, selection of lead agency or bureau for completion of each task, and development of a resource spreadsheet. The process is led by S/CRS, and the outputs (an MME Strategy Memo and PowerPoint Presentation, an MME Task Tracking Template, an MME Planning Calendar or Gantt Chart, or an MME Resource Spreadsheet) are approved by the Policy Coordinating Committee or the CRSG.

The third step consists of translating the strategic plans into individual agency implementation plans at the task and activity level. For this final step, individual agencies or bureaus develop and monitor essential task indicators, develop subtasks, provide budget inputs for the resource strategy, and track program management. The implementation will also inform revisions to the policy formulation and

strategy development. Although individual agencies lead the implementation planning, S/CRS maintains responsibility for monitoring achievement of the MMEs.¹²

Implications for the Army. The *Draft Planning Framework* allows direct input by Army planners during the second and third steps of the planning process. Especially in implementation planning, Army personnel may be engaged in a central fashion. Even in cases of security-related tasks where the DoD (and probably ground forces personnel) has a clear lead, it would be essential to bring expertise from other agencies into the process.¹³ Doing so entails good knowledge of relevant expertise in other agencies, the ability to work with such personnel, and a common language.

Although the *Draft Planning Framework* identifies a broad “tool-box” that the U.S. government has for SSTR operations (including diplomacy, communications outreach, intelligence, military, economic relations, assistance programs, law enforcement, and consular policy), the U.S. military “may be tasked to provide various types of support to DoS [the Department of State] and interagency partners in an operational area, to include local security, logistics (transportation, supply, maintenance, civil engineering, health services, and other services), legal support, and communications support.”¹⁴ The Army is the main provider of many of these assets. Thus, the *Draft Planning Framework* stipulates a clear and broad role for ground forces in supporting SSTR operations.

Currently, the *Draft Planning Framework* is the founding document for planning SSTR operations. Although it is bound to evolve further, it contains constructive elements from an organizational standpoint, in that it integrates some of the other pillars, such as ETM and the concept of teams, and provides for a common interagency planning process that would involve Army personnel.

¹² U.S. Joint Forces Command and U.S. Department of State (2005), pp. 14–15.

¹³ U.S. Joint Forces Command and U.S. Department of State (2005), p. 26.

¹⁴ U.S. Joint Forces Command and U.S. Department of State (2005), p. 33.

The Post Conflict Essential Tasks Matrix

The Post Conflict ETM is a compilation of individual tasks that, taken as a whole, are intended to support a country in transition from armed conflict or civil strife to sustainable stability. The ETM does not seek to assign responsibility for carrying out individual tasks, nor does an inclusion of a task in the list mean that capabilities to carry out the tasks currently exist within the Army or the U.S. government. Thus, the ETM is also envisioned as a tool that can help identify gaps in existing capabilities to ensure that the required capabilities are either developed within the U.S. government or sought out when necessary among the international actors.¹⁵ The value of the ETM is in imposing a common language and in choosing a set of missions that may then lead to the selection of appropriate agencies to implement the tasks.¹⁶ The ETM is intended to be a “living document” that captures SSTR operations lessons learned and that brings functional knowledge and systematic thinking into mission analysis and planning for SSTR operations.¹⁷ The ETM developed from an earlier compilation put together by the Center for Strategic and International Studies (CSIS) and the Association of the United States Army (AUSA) that was then revised in Interagency Working Groups.¹⁸

Description. The ETM’s 1,178 individual tasks are organized functionally and temporally. Its five technical sectors are security,

¹⁵ U.S. Joint Forces Command and U.S. Department of State (2005), p. 10.

¹⁶ It is our understanding that S/CRS sees ETM as a menu from which the appropriate essential tasks might be chosen for a specific operation. Thomas Szayna and Derek Eaton discussions at S/CRS, May 2006.

¹⁷ U.S. Joint Forces Command and U.S. Department of State (2005), p. 10.

¹⁸ In 2000, CSIS and AUSA analyzed the U.S. government’s postconflict reconstruction efforts and their capabilities. They sponsored a 27-member bipartisan commission with experience in the U.S. Congress, the military, the executive branch of the U.S. government, international organizations, and NGOs that provided several policy recommendations. In May 2002, the joint project produced a Post-Conflict Reconstruction Task Framework that describes the range of postconflict reconstruction tasks. Much of the CSIS/AUSA research, including the task framework, is included in Orr (2004). S/CRS used this work as its baseline and expanded on it through six interagency working groups.

governance and participation, humanitarian assistance and social well-being, economic stabilization and infrastructure, and justice and reconciliation. Its three conceptual phases are initial response, transformation, and fostering sustainability. Table 2.1 lists the goals for the five technical sectors in each of the three conceptual phases.

Each of the five technical sectors are further broken down into “subsectors,” such as territorial security (security), legislative strengthening (governance and participation), trafficking in persons (humanitarian assistance and social well-being), social safety net (economic stabilization and infrastructure), and corrections (justice and reconciliation).

Table 2.1
ETM Goals

Technical Sector	Initial Response	Transformation	Fostering Sustainability
Security	Establish a safe and secure environment	Develop legitimate and stable security institutions	Consolidate indigenous capacity
Governance and Participation	Determine governance structure and establish foundation for citizen participation	Promote legitimate political institutions and participatory processes	Consolidate political institutions and participatory processes
Humanitarian Assistance and Social Well-Being	Provide for emergency humanitarian needs	Establish foundation for development	Institutionalize long-term development program
Economic Stabilization and Infrastructure	Respond to immediate needs	Establish foundation for development	Institutionalize long-term development program
Justice and Reconciliation	Develop mechanisms for addressing past and ongoing grievances	Initiate the building of a legal system and process for reconciliation	Functioning legal system accepted as legitimate and based on international norms

Within each of these subsectors, the ETM lists specific tasks for achieving the goals of each of the three phases.¹⁹

Implications for the Army. The ETM amounts to a list of tasks that the Army conceivably may be assigned in support of SSTR operations. Because the ETM provides a common interagency lexicon for developing missions—coming up with metrics and defining outcomes—the list is of primary importance to the Army and the ETM needs to be harmonized with Army doctrine and training.²⁰ Chapter Three of this report is devoted to this task. It examines current and developing U.S. Army doctrine to explore whether and to what extent there exist doctrinal gaps between the ETM and evolving Army doctrine in the realm of SSTR operations and examines potential doctrinal solutions to close the gaps in the security sector.

Interagency Management System for Reconstruction and Stabilization

Among other things, NSPD-44 also established a Policy Coordination Committee (PCC) for Reconstruction and Stabilization Operations (RSO). As defined in NSPD-1, a Policy Coordination Committee is a primary forum for interagency coordination of national security policy:

Management of the development and implementation of national security policies by multiple agencies of the United States Government shall usually be accomplished by the NSC Policy Coordination Committees (NSC/PCCs). The NSC/PCCs shall be the main day-to-day fora for interagency coordination of national security policy. They shall provide policy analysis for consideration by the more senior committees of the NSC system and ensure timely responses to decisions made by the President.²¹

¹⁹ Although there are generally tasks for each of the three phases, some “subsectors” do not include tasks in all three phases.

²⁰ U.S. Joint Forces Command and the U.S. Department of State (2005), pp. 27, 35.

²¹ For the text of NSPD-1, see National Security Presidential Directive 1 (2001).

The RSO PCC, chaired by the Coordinator S/CRS and a designated member of the NSC staff, will have the lead coordination role for a SSTR operation. The RSO PCC has seven sub-PCCs. Of these, four sectoral sub-PCCs correspond to the technical sectors in the ETM: Transitional Security and Rule of Law (corresponding to the Security and Justice and Reconciliation technical sectors in ETM), Economic Stabilization and Infrastructure Development, Humanitarian Response and Social Well-Being, and Governance and Participation. Three other sub-PCCs are cross-cutting and pertain to preconflict strategy (Conflict Prevention and Mitigation), assessment (Monitoring, Analysis, Intelligence), and resource availability (Response Strategy and Resource Management).

Within its RSO PCC role, S/CRS has developed an interagency concept of SSTR operations that integrates elements of the planning process as outlined in the *Draft Planning Framework* and the categorization from the Essential Tasks Matrix. A central aspect of the concept is the formation of three types of teams that would ensure a unity of effort in the SSTR operation. Together, these teams are designed to integrate civilians and the military during the planning and execution of conflict prevention, major combat operations, and post-conflict stability operations at the level of the Policy Coordinating Committee down to the tactical level. At the strategic-national level, the main steering group will be the CRSG. At the strategic-theater level, the coordination group will be the Integrated Planning Cell (IPC). Advance Civilian Teams (ACTs) will operate at the operational and tactical levels.

Description. The CRSG will be a high-level group, conceived as a blend between a National Security Committee PCC, S/CRS, and resources from the State Department Regional Bureau. The National Security Advisor would establish a CRSG at the recommendation of the Secretary of State, ideally before the intensive phases of planning have begun. The primary roles of a CRSG are to develop an overall plan for post-conflict response and integrate all U.S. government efforts in the planning process, across policy goals and major mission elements. The CRSG would also serve as the principal liaison in the effort with senior leadership and would provide policy guidance to the

IPC and ACTs. CRSGs will be headquartered in Washington, not in the theater. CRSGs would be temporary entities, set up for a specific SSTR operation.

CRSGs may be chaired by the State Department Regional Assistant Secretary or Special Envoy, S/CRS Coordinator, or the NSC Director, as determined by the NSC. A Policy Director from the State Department Regional Bureau and a Chief Operating Officer from S/CRS will oversee the operations. The Regional Bureaus, S/CRS, NSC, and other agencies will also play a role in staffing CRSGs at other levels, contributing full-time personnel who may include a regional expert, a U.S. Agency for International Development (USAID) program officer, a DoD area officer, a public affairs specialist, and support functions such as reporting, knowledge management, administration, and information technology. Part-time associated staff might include representatives from USAID and the Departments of Defense, Justice, Treasury, and State who would develop a rule-of-law strategy.

The IPC will be a civilian stability and reconstruction planning team embedded in a Geographical Combatant Command (GCC) or other appropriate military command that works with that staff to lead civilian stability and reconstruction planning. The three primary functions of the IPC are to ensure integration between civilian and military stabilization and reconstruction strategies, provide civilian expertise to military planning processes and operations, and to determine the scope and deployment requirements for ACTs. This team will draft the appropriate (SSTR-related) elements of the military plans, design the stability and reconstruction interface between civilian and military elements for combat and transitional security operations, and recommend processes and criteria for the transfer from military to civilian lead by function and by region. It would also assist the GCC staff in their planning process by providing analysis, including identifying the effects of military planning options on future stability and reconstruction activities. Finally, an IPC would coordinate activities through the CRSG of key agencies involved in stability and reconstruction, alert the CRSG to any gaps and deficiencies in civilian planning, and develop the concept of operations and deployment for the ACTs. The IPC is a planning

element and has no command and control functions. Just as a CRSG, the IPC is a temporary entity, set up for a specific SSTR operation.

An IPC ideally would deploy with resource and policy guidance provided by the CRSG and approved by the Deputies or Principals Committee. The IPC would work closely with both the Joint Interagency Coordination Group (JIACG) and the Political Advisor (POLAD) to ensure close coordination with both offices but is a separate entity from the JIACG, deployed as a set of civilian technical and regional planners specifically for intense stability and reconstruction planning scenarios. It would remain embedded with the GCC until the GCC commander and IPC leader agree it is no longer needed or until the locus of planning has shifted to subordinate headquarters and the normal JIACG functions can support fully the GCC planning requirements.

In terms of personnel constituting an IPC, S/CRS would designate a senior planning chief (ideally of ambassadorial rank) to lead a 10–15 member team with civilian functional and regional experts. Since the purpose of the CMPT is to provide civilian presence and guidance at the GCC for the operation, the team would not include any military personnel, although it would interact constantly with the military. Areas of specialization might include transitional security, humanitarian and transitional assistance, rule of law, economic stabilization, administration and logistics, and finance and banking. Individuals would be tasked from the Active Response Corps (ARC) and other interagency rosters.

The third team concept is the ACT. The concept envisions several (up to four, depending on the size of the operation) tactical units (Field ACTs, or FACTS), that would be embedded with individual military units, and one headquarters unit (ACT-HQ). The overall role of the tactical teams is to coordinate civilian and military reconstruction and stabilization at the tactical level. By embedding with units, these teams will be able to develop field-oriented strategies, tailored to specific situations, and to start those efforts as soon as possible. The teams will work with Army civil affairs personnel, if present, and coordinate the USG agency field assessments to provide “call forward” recommendations to the CRSG and recommendations on the use of commander’s

discretionary funds and DoD humanitarian funds. The specific tasks assigned to the ACTs would include performing daily project prioritization, overseeing management of humanitarian relief and infrastructure repair services, to leading negotiations with local leaders, coordinating the stand-up of a host country government, coordinating and integrating regional programs, providing the field and local perspective to Washington, and assessing regional economic activity. To perform these tasks, the embedded teams will include political and economic officers, disaster specialists (possibly from USAID's Office of Foreign Disaster Assistance), personnel with experience in administering small grants in transitional situations (possibly from USAID's Office of Transition Initiatives), and other specialists as needed for specific situations.

The headquarters unit, or lead ACT, will guide, oversee, and coordinate the actions of the FACTs and serve as a liaison between the embedded teams and the IPC and CRSG. The specific tasks assigned to ACT-HQ would include developing the field component of an integrated stabilization and reconstruction plan, coordinating the use of all U.S. stability and reconstruction resources, managing all governance issues if an embassy or other appropriate entity does not exist, performing policy analysis and facilitating communications, resolving chain of command and authority problems in the field, setting the conditions for a transition from military-driven to civilian-driven stabilization and reconstruction activities, as well as others. This unit would be collocated with an embassy or USAID mission, if such exist, and some members may collocate with the Civil-Military Operations Center (CMOC).

The theoretical design of the three-team concept described above was approved by NSC in July 2006 but there is some practical experience with at least components of the concept. The first CRSG was developed for Sudan and is co-chaired by the S/CRS. In addition, there is also a Haiti PCC that is co-chaired by the S/CRS. Although no IPCs are in existence as of the completion of this report, the concept

has been tested in military exercises.²² Finally, the ACT concept draws substantially on the SSTR experiences in the Balkans in the 1990s and the Provincial Reconstruction Teams (PRTs) in Afghanistan.

Implications for the Army. The three-team concept provides a strategic-to-tactical level planning and coordination mechanism for SSTR operations. The IPCs and ACTs will work directly with military personnel in planning and executing SSTR operations. The IPCs especially may have a major role in military planning, as the team is tasked with ensuring that post-conflict reconstruction and stability objectives are taken into account during the planning for major combat operations. With its direct channel to the CRSG and the highest decision-making authorities, the IPC would have the means to effect change in combatant command (COCOM) plans. If the concept is implemented, Army personnel would have to work closely with IPC staff to ensure that the civilian staff understand the capabilities of Army units.

Implementation of the concept also means that there would be a clear and close connection between ACTs and Army forces deployed in support of a SSTR operation. Besides acting as a “super-PRT” in terms of the effect on transition and reconstruction, the ACTs would provide a venue for direct interaction and coordination between civilian-led efforts and military support to a SSTR operation. Since the ETM would be the common language describing tasks in an SSTR operation, Army forces would have to be fully conversant in the ETM terminology and aware of the IMS in a SSTR operation.

Military Support to SSTR Operations Joint Operating Concept

The three pillars described above deal with the overall structure of planning and implementation for interagency SSTR operations, but the U.S. Joint Forces Command also has outlined a Joint long-term concept of the military role in future SSTR operations. The Joint Operating Concept describes how the JFC will support SSTR operations

²² The exercises were Fuertes Defenzas in 2005 (FD05) and Blue Advance in 2006. At the time, the IPCs were referred to as Civilian Military Planning Teams (CMPTs) and before that as Humanitarian, Reconstruction and Stabilization Teams (HRSTs).

“within a military campaign in pursuit of national strategic objectives in the 2014–2026 timeframe.”²³ There is a broad scope to the JOC, in that it covers the military role in such actions as assistance to fragile or failing states, assistance to states facing modest internal challenges, administration of occupied territory in the aftermath of forceful regime change, and helping stable governments facing the consequences of a natural disaster. The JOC accepts the interagency aspects of SSTR operations. As the title of the JOC makes clear, it emphasizes only one aspect of SSTR operations—the military support to such operations—but the overall operation is a civilian-led multiagency effort.

Description. The JOC describes four functional and six operational capabilities the U.S. government needs for SSTR operations. The functional capabilities are (1) U.S. government institutional agility; (2) command, control, and coordination; (3) battlespace awareness/understanding; and (4) Joint Force generation and management. All of these elements refer to combined civilian and military assets. In fact, the JOC is notable for its focus on integration of all available assets—U.S. military, U.S. civilian, coalition, multinational and private sector actors, and host nation agencies—toward accomplishing mission goals.

The six operational capabilities, also referred to as major mission elements, are (1) establish and maintain a safe, secure environment; (2) deliver humanitarian assistance; (3) reconstruct critical infrastructure and restore essential services; (4) support economic development; (5) establish representative, effective governance and the rule of law; and (6) conduct strategic communication. The combination and importance of these MMEs is case-specific and will differ according to the particular security environment. The categorization parallels closely the technical sectors of the ETM.

The JOC defines the critical and enabling capabilities associated with each of the functional and operational capabilities. As such, it provides guidance for doctrine and training for Army forces in SSTR operations. The JOC also provides a crosswalk of Joint Capability Areas (JCAs) Tier 1 and Tier 2 with each of the functional and operational

²³ U.S. Joint Forces Command (2006c).

capabilities. The comparison points out areas where further work on JCAs is needed.

Implications for the Army. JOCs are meant to be forward-looking—up to 15 years—and many of the concepts contained in the JOC will need to be verified by experimentation before being adopted and implemented in Joint doctrine. Nevertheless, the JOC provides a general direction of thinking at the Joint level about SSTR operations and the Army’s role in them. Many of the details in the JOC are bound to be revised, although its overall outlines are common with the S/CRS sanctioned pillars²⁴ and likely to remain in place and eventually be binding for the Army. In that sense, the JOC is important in expressing the Joint vision of SSTR operations and providing the basis for the Army’s future force development process.

Other Agencies

Although the above four pillars provide a central structure for rethinking SSTR operations, NSPD-44 is aimed at all pertinent U.S. departments and agencies. Below we note some of the other actions in response to the directive.

USAID, a federal government agency reporting to the Secretary of State, is a crucial actor in improving planning and implementation of SSTR operations. USAID has revised its organization to align better with the 2002 National Security Strategy and has taken steps to establish an operational link with the military. It has formed two new entities: the Office of Military Affairs, a part of the Bureau of Democracy, Conflict and Humanitarian Affairs (DCHA/OMA), formed in October 2005, and the Military Policy Review Board. The USAID Strategic Plan, which focuses activities around the NSS strategic goals, places democracy, governance, regional stability, and humanitarian assistance as central goals, and DCHA leads in this effort.

²⁴ The close interrelationship between the S/CRS concepts and the JOC produced by JFCOM J-9 is not accidental. After the creation of S/CRS, the Interagency Working Group of JFCOM’s Joint Experimentation Directorate (J-9), which had previously worked on interagency coordination on SSTR activities, shifted its focus to supporting the S/CRS.

The Office of Military Affairs provides a single focal point for USAID interaction with the military and, to the extent possible, works to establish habitual relationships with the military by participating in Joint exercises, trainings, and conferences, and by placing senior USAID development experts in staff positions in the geographic COCOMs to help assess development priorities and needs. OMA is divided into two units—planning and operations. The planning division includes advisors for each geographic COCOM, a doctrine/strategic planning specialist, and a planning/program development specialist. The operations unit includes three disaster coordinators, three complex emergency specialists, a training specialist, and communication/logistics personnel.²⁵ The Military Policy Review Board, comprising the USAID Assistant Administrators, focuses on the long-term relationship between USAID and the military. It specifically has the objective of increasing the DoD's understanding of USAID and seeks to ensure that SSOT aspects relevant to USAID expertise are incorporated in DoD planning, operations, and military doctrine.²⁶

Other than organizations within or affiliated with the DoS and the DoD, other federal departments and agencies involved with S/CRS so far include the Department of Justice, the Department of Treasury, and the Central Intelligence Agency. Staff from those departments and agencies are at S/CRS (as an interagency coordination office, S/CRS is staffed by representatives from other departments and agencies). These organizations are included in working groups under the RSO PCC and are expected to contribute resources to staff the various teams led by S/CRS. Our discussions with S/CRS staff lead us to believe that the role of organizations other than the DoS or the DoD has been minor. Although that is not surprising, since S/CRS needs to clarify first the roles and structures of the principal agencies, eventually other federal departments and agencies will need to be involved if they are to comply with the intent of NSPD-44.

²⁵ U.S. Agency for International Development (2006a).

²⁶ U.S. Agency for International Development (2005).

Actions

In terms of actions taken to advance interagency collaboration, in compliance with NSPD-44, there have been organizational moves (discussed above) as well as exercises and staff exchanges.

S/CRS, in coordination with partners, has established several interagency training programs for various civilian and military U.S. government personnel and representatives of other relevant organizations. The National Defense University, in cooperation with S/CRS, offers a series of day-long courses on interagency planning and coordination, including “Coordination for Conflict Instability: S/CRS and Interagency Response” and “Interagency Planning for Conflict Transformation.” Advanced follow-on courses are also being designed. In addition, S/CRS and the U.S. Institute of Peace co-sponsor a series of educational games, through the Naval Postgraduate School’s Center for Stabilization and Reconstruction Studies, that are designed to address potential challenges for SSTR operations. The first game—entitled “Humanitarian Operations During Conflict”—was conducted in August 2005. The five-day training included scenario-based sessions and such topics as information management and sharing.²⁷

USAID has loaned staff regularly to S/CRS and, to a lesser extent, to the DoD. The main documents published so far by S/CRS show that there is substantial collaboration between the three organizations on the development of concepts and interagency documents. S/CRS and USAID have participated in military exercises, as appropriate. The planning exercise, FD05, in September 2005 at U.S. Southern Command included the first fielding of an IPC.²⁸ S/CRS and USAID teams also participated in the Multinational Experiment 4: Transforming Civil-Military and Coalition Relationships to Drive Real-World Change, which simulated a multinational interagency-led intervention with military support into a failing state in sub-Saharan Africa. In addition, as part of its “fragile state” strategy, USAID is working with the military on transition projects (e.g., building schools and improving infra-

²⁷ Carlson (2005).

²⁸ We are aware of an evaluation of the exercise by the Institute for Defense Analyses (IDA).

structure), projects that were previously considered strictly humanitarian. USAID and the military conducted Joint operations in Indonesia after the 2006 tsunami.²⁹ For relief efforts after the 2005 earthquake in Pakistan, USAID co-located its Disaster Assistance Response Team (DART) headquarters with the U.S. military's humanitarian response team. These are just some examples of the close relationship and collaboration. Some of the collaboration is normal and represents an evolutionary change in the USAID-DoD partnership, but some of it also represents the influence of organizational changes and a new emphasis in treating development and security as interrelated.

The evolving collaboration seems to be based on a common general understanding of the respective roles for civilian agencies and the military in SSTR operations. As emphasized in discussions with us, there is agreement that civilian agencies will lead the stability and reconstruction planning and execution before and after major combat operations, and the military will take the lead on stability-related tasks during major combat operations.³⁰ There is also agreement that the transition to civilian lead after major combat operations should be executed as soon as possible,³¹ although the construct may be difficult to apply in theater (discussed below).

Issues in Implementing Guidelines for Rethinking SSTR Operations

There has been a great deal of activity since 2004 when it comes to developing capabilities for SSTR operations. The two basic documents, NSPD-44 and DoDD 3000.05, aim to change completely the way that the U.S. government approaches SSTR operations. What we see as the four pillars provide a starting point in putting into practice the intent behind those two documents. That said, the effort is still in its

²⁹ Bullock (2005).

³⁰ This division of labor has been stressed in studies that led to the development of S/CRS. See, for example, U.S. Department of State (2004).

³¹ U.S. Department of State (n.d.b), p. 4; and Buss (2005), p. 3.

early stage. The organizational and conceptual steps outlined in the preceding section notwithstanding, basic problems associated with the startup of a fundamental change across the U.S. government departments and agencies remain. Below, we note what we see as the main issues standing in the way of achieving a high-level of interagency collaborative capacity on SSTR operations, focusing on S/CRS, since that is the agency tasked with coming up with the solution. The findings are based on our review of the available documentation and discussions with the primary stakeholders (S/CRS, USAID, and the DoD). We see the following issues as most important: availability of resources, appropriate personnel, definition of agency roles, and scope of common action. Each of these is discussed below. We note that most of these issues are recognized by the main stakeholders, although the recognition by itself does not necessarily mean that the issues are easily resolved or that a unity of views exists on how to resolve them.

Resources

The core issue is availability of resources, although in itself that question brings up the larger issue of scope of action for S/CRS and its ability to control resources independently. The budget for S/CRS has grown steadily since the formation of the office, but it remains modestly funded.³² Total appropriations for S/CRS operating expenses and personnel costs were \$12.8 million in FY 2005, \$16.6 million in FY 2006, and \$20.1 million in request for FY 2007.³³ Congressional funding decisions have resulted in amounts lower than requested in the presidential budget. Congress appropriated \$7.7 million in supplemental funds for FY 2005 startup costs for S/CRS (the President's budget included a request for \$9.4 million for S/CRS). Congress was vague concerning FY 2006 funding, as it did not designate any specific amount for S/CRS and left the final decision on allocations up to the State Department (the President's budget included a request for \$24.1 million).

³² For a longer explanation of the budgetary issues concerning S/CRS, see Serafino and Weiss (2006). Status of legislation is taken from the Library of Congress THOMAS.

³³ U.S. Department of State (n.d.a.).

So far, Congress has appropriated only enough funds to allow the office to operate and has balked at directly appropriating funds to support the S/CRS efforts at creating the capacity for crisis-time SSTR response capability. In FY 2006, Congress did not approve the creation of \$100 million Conflict Response Fund (administered by S/CRS), to be used for conflict prevention as well as immediate response planning and transition activities in the first four months of an intervention. Congress zeroed out the request and asked the State Department to provide it with a strategy showing how S/CRS will coordinate U.S. government responses to post-conflict contingencies before submitting the FY 2007 budget request. A request for \$75 million for the Conflict Response Fund in the FY 2007 request also was zeroed out in the House of Representatives. However, Congress did authorize a transfer of \$100 million (for FY 2006 and FY 2007) in services, materiel, and SSTR-related assistance from the DoD to the State Department. In effect, the transferred funds funded the Conflict Response Fund, although Congress did not use that term. Congress approved DoD support for S/CRS but warned that the transfer of funds was only a temporary move, until S/CRS became fully functioning and adequately resourced.

The extent of congressional action on appropriations for S/CRS seems to indicate caution as to the role of the office, its pace of growth, and the level of resources that the office might control. If S/CRS is to become a more influential office and fulfill the coordination role envisioned for it in NSPD-44, it will need to have the ability to plan, to train personnel, and to have a cadre of staff to deploy, all of which probably will take more resources than it has received so far in direct appropriations. Our discussions with stakeholders reveal the expectation that potential increases for this purpose would come at the expense of future decreases in funding for the DoD, as there is an assumption of a tradeoff between preparing for conflict and taking steps to head off the conflict in the first place.³⁴ Thus, the thinking is, the lesser chance

³⁴ There is empirical evidence that the costs of preventive action far outweigh the costs of dealing with consequences of conflict, although there is the problem of selection bias and the potential that some conflicts did not happen despite the fact that no international pre-

of a conflict taking place means lesser need for the capabilities to cope with the it.³⁵ But it also is true that there is a ceiling on S/CRS ability to grow and make use of resources efficiently. An alternative and possibly more efficient solution is for S/CRS to have the ability to draw rapidly on the resources of other agencies and departments so as to bring them to bear in the event of a crisis or a contingency. The S/CRS role would be more that of an enabling agency.

Personnel

The specific aspects here are the number and appropriateness of personnel. As an interagency coordination entity, S/CRS has a small core staff and a variety of staff on loan from other departments and agencies. At the end of FY 2006, S/CRS had 15 permanent positions, 12 interagency staff on loan, and 48 nonpermanent positions funded by the Department of State, although some of the authorized positions may not have been filled as of the completion of this report. S/CRS envisions 15 additional permanent positions if Congress authorizes the FY 2007 funding request for S/CRS (personnel funding was at \$10.4 million in FY 2006; the request for FY 2007 is for \$13.6 million).³⁶

The ability of S/CRS to contribute to stability planning, coordination, and implementation for any given contingency depends on its ability to assign staff who are qualified and ready for immediate deployment to the three sets of teams. Specific requirements for each team will be determined by both the scale of the operation and the resources available but, depending on the magnitude of the operation and the number of ACTs deployed, the demands could stress the personnel resources of S/CRS. The planning assumption for S/CRS calls for the ability to field teams for two to three operations at any given time, with each operation lasting for five to 10 years. Since individual deployments might last about a year, the staff will rotate for any given

ventive action took place. Brown and Rosecrance (1999); and Killick and Higdon (1998), pp. 97–119.

³⁵ Thomas Szayna discussions at S/CRS, September 2006.

³⁶ U.S. Department of State (n.d.a.).

operation, necessitating a reserve of ready and qualified personnel for follow-on deployments.

To populate these teams, S/CRS has developed a three-tiered staffing system. The Readiness Response Corps will be the primary source of staff; it will include Active and Standby components. The ARC is a deployable staff of first-responders to a SSTR mission.³⁷ The ARC will include employees with political, economic, diplomatic security, administrative, and law enforcement skills. They will be trained to support a SSTR operation. After training, the ARC members will be placed in regional and functional bureaus, although they will remain on-call for immediate deployment to SSTR contingencies. Their ongoing responsibilities will include such activities as identifying and monitoring countries at risk of instability, coordinating development of a state's peace-building capacity, and facilitating civil-military coordination. Fifteen staff are authorized as of September 2006, although S/CRS plans call for a staff of 30 by the end of 2007. Eventually, ARC is to grow up to 250 staff. A reserve component, the Standby Response Corps, made up of volunteers with appropriate experience and willing to serve in potential SSTR operations, would back up the ARC. Should the Active and Standby components need to be supplemented, a civilian reserve, recruited from federal, state, and local governments and the private sector, would fill the staffing needs. In addition, as part of the Global Skills Network (a network of precompeted, standing contracts to provide global coverage in a range of skill sets), S/CRS intends to create and maintain a database of skills, contracts, resources, and mechanisms to support SSTR operations.

The adequacy of these resources will depend on the availability and appropriateness of the individuals recruited. Staffing up to three long-term, medium-sized SSTR operations may exceed current S/CRS planning goals. The resource pools are being developed to support a variety of operations, and not all skills will be needed for each operation. In addition, the resource pools will need to be replenished fre-

³⁷ Pascual (2005).

quently as people opt out of the list.³⁸ Proposals have been made to come up with an appropriate human resources management system to ensure that deployable and appropriate civilian assets are in place, but the issue is far from being settled.³⁹

The crucial element that S/CRS would provide in support of SSTR operations, both for planning and for implementation, is a well-trained deployable staff to coordinate efforts on the ground. Yet Congress has been hesitant to authorize funding for the Readiness Response Corps. In addition, having the ability to call on appropriate civilian staff, as envisioned in NSPD-44, depends on attracting the staff and training it to ensure that it can work effectively with other agencies involved in the effort, such as the DoD. S/CRS is working on mechanisms to achieve such coordination but they are not yet in place.

Definition of Agency Roles: Military-Civilian Dimension

A key issue is the ability of civilian agencies to work effectively with the military. Some friction, based on institutional differences, is bound to remain but, for purposes of effective cooperation, it is desirable to minimize it. Decreasing the effect of civilian-military differences requires agreement on each participating agency's role in a SSTR operation, an understanding of the other organizations' procedures, and a common lexicon.

In the course of our discussions with stakeholders, we found strong agreement in principle that civilian agencies should lead SSTR planning and execution before and after major combat operations, whereas the military should lead during combat operations, and that the transition to civilian lead should take place as soon as possible. However, in some operations, identifying these points in time may not be self-evident, as the need for military participation may fluctuate over time, may not always proceed in a linear fashion, and may vary by region. As a result, determining the lead at any given point and at any given time may be a source of contention.

³⁸ For a more extensive examination of the issues involved in developing the S/CRS resources; Kelly, Tunstall, Szayna, and Prine, unpublished research.

³⁹ We are aware of efforts at RAND and IDA on this topic.

During our discussions, civilian and military officials expressed concern about the possibility that real or perceived organizational culture differences could hamper coordination. Some in the civilian sector see the military as overly hierarchical and inflexible.⁴⁰ USAID often uses a highly decentralized structure in which implementation and much program design take place at the level of the field mission. On the other hand, military personnel are not used to working in an environment with a paucity of doctrine and an ambiguous chain of command. From the perspective of the military, efforts to plan jointly with civilians are likely to create friction around the level of rigor required in those efforts. To the military, plans are well-developed, highly structured, prescriptive actions to be taken by specific actors. In the civilian sector, plans are less detailed and leave a lot of room for improvisation.

Our discussions with stakeholders revealed that one of the biggest complaints from the civilian agencies is the difficulty in coordinating efforts with the DoD. The civilian agencies have found it difficult to know with whom in the military to coordinate different activities, how to navigate the many offices that have a hand in stability operations within the DoD and the Army, and how best to coordinate among the various military-civilian efforts.⁴¹ Civilian agencies have had trouble prioritizing the many requests that they receive to participate in training exercises and, once there, struggled to integrate their efforts with the military.⁴² Although these may be early startup problems, connected to lack of familiarity, they will not go away automatically. To resolve them, purposeful actions to establish familiarity are required.

Some civilian-military issues will remain, although the complications arising from them can be minimized through familiarization, Joint training, and acceptance of common terminology. DoDD 3000.05 is clear on the need for DoD participation in SSTR exercises and games with other U.S. government agencies,⁴³ but NSPD-44 is less

⁴⁰ Amy Richardson discussions with S/CRS and USAID staff, March 2006.

⁴¹ Amy Richardson discussions with S/CRS and USAID staff, March 2006.

⁴² Amy Richardson discussions with S/CRS staff, March 2006.

⁴³ DoDD 3000.05, Section 4.8 (2005).

specific on this issue. Yet, it will be up to the civilian agencies to engage with the DoD and participate fully in exercises and games to increase civilian-military familiarization. Proceeding in this direction is not a given, in view of limited S/CRS resources, sometimes limited interest on the part of civilian agencies other than the State Department, and the remaining problems in defining the scope of common action. The ETM does provide a common terminology for civilian-military cooperation, but awareness of the terminology and the comparative advantages of specific agencies in performing the specific tasks called for in the ETM will need to increase on the part of all actors if effective collaboration is to be the outcome.

Definition of Agency Roles: Civilian-Civilian Dimension

There are two aspects to this issue. One is the organizational tension stemming from the formation of a new entity—S/CRS—that both requires the cooperation of established agencies to succeed and usurps some of the recognized areas of expertise of the established agencies. The second is the need for the full range of departments and agencies to participate in the process, as called for by NSPD-44. Yet many of these departments and agencies see commitments to operations beyond U.S. borders as a secondary priority and a drain on already scarce resources. Ultimately, agreement on and a clear definition of civilian agency roles in SSTR operations are necessary to mobilize and use efficiently the expertise in the U.S. government in SSTR operations.

On the point of organizational tension, S/CRS and USAID are still struggling to define their respective roles in a NSPD-44 environment. There is some overlap in how the two organizations define their contributions, with USAID seeing itself as the natural lead for reconstruction efforts. As stated by a USAID individual

USAID is the arm of the U.S. Government which is mandated to carry out development assistance programs. It will either exist in conflict countries or will be standing up a reconstruction mission in post-conflict countries. It will have the principal responsibility for managing the longer-term assistance programs, and will have humanitarian assistance and transition assistance teams present during and immediately following the crisis. USAID will partici-

pate in the early planning and will have the principal civilian role for field planning and operations for recovery activities.⁴⁴

This appears to overlap with the stated mission of S/CRS, which is

To lead, coordinate, and institutionalize U.S. Government civilian capacity to prevent or prepare for post-conflict situations, and to help stabilize and reconstruct societies in transition from conflict or civil strife, so they can reach a sustainable path toward peace, democracy, and a market economy.⁴⁵

It is clear that S/CRS recognizes the expertise resident at USAID and the need for USAID to participate in SSTR efforts:

S/CRS will work closely with USAID on all matters that have to do with needed support for field presence. The OFDA/DART logistics capability to support civilian efforts is second to none in military and non-military scenarios. S/CRS will be working to develop its own capacity over time to augment the USAID capability, and does not intend to duplicate it. Integration rather than duplication is essential.⁴⁶

But there are also instances where S/CRS clearly points out a broader scope than the USAID contribution:

Conditions of deploying ACT . . . in non-combat situations: . . . 3) [stability and reconstruction] requirements will extend beyond humanitarian assistance and necessitate a broader policy and program mix than traditionally provided by OFDA/DART.⁴⁷

In some ways, the existence of S/CRS, and in particular its participation in areas traditionally managed by USAID, has created another

⁴⁴ Comments on an S/CRS planning document (U.S. Department of State, 2005c) by a senior USAID official, October 25, 2005.

⁴⁵ U.S. Department of State (2006).

⁴⁶ U.S. Department of State (n.d.b), p. 1.

⁴⁷ U.S. Department of State (n.d.b), p. 1.

layer of actors in SSTR operations. In the past, USAID has taken the civilian lead on many aspects of these operations. Now, USAID and S/CRS must divide these responsibilities (along with Civil Affairs in the military), altering some habitual relationships that had formed in the past. For example, strictly speaking, the Army is no longer instructed to coordinate with the other civilian agencies on SSTR operations; these efforts are to flow through S/CRS. Technically, the Army should not be working directly with USAID but through S/CRS. But such a setup does not seem optimal, or at least not yet at this stage of growth of S/CRS capabilities.

On the basis of our research, S/CRS recognizes the need for USAID to play a central role in SSTR efforts, but we discern an unresolved issue in the manner of integration of USAID personnel and expertise into S/CRS-led efforts. We note that such issues are to be expected in the process of forming a new organization but they will need to be worked out in the course of exercises and, if necessary, may call for additional high-level guidance. The presence of the DoD, and especially Army, assets crucial in reconstruction operations (Army Corps of Engineers, Civil Affairs) means that the DoD has a great interest in seeing the roles of civilian agencies clarified.

There is also the issue of ensuring that the other departments and agencies with expertise pertinent to SSTR operations are involved in S/CRS-led planning and preparation for potential SSTR operations. On the basis of our research, we see little involvement in the process of civilian agencies other than the Department of State. That may change as S/CRS gains greater organizational capacity. But a lack of incentives may be the reason for what currently may be a low level of interest and limited participation in the government-wide effort that is mandated by NSPD-44.

Scope of Common Action

The effort outlined in NSPD-44, DoDD 3000.05, and the Transformational Diplomacy initiative to change the way that the State Department functions (toward a more proactive conflict-prevention and conflict-mitigation role) represents an entirely new way of approaching SSTR operations, but the effort remains at an early stage of institu-

tionalization. Issues with resource appropriations and participation by agencies and delineation of their roles (outlined above) are symptomatic of the deeper questions about creating a permanent U.S. government organizational capability for SSTR operations. Ultimately, discussions about the size of and funding for S/CRS rest on the usually unstated assumptions about the need to engage in SSTR operations, the likelihood of success in SSTR operations, and the extent of threat posed by weak states to U.S. interests. These are national-level policy issues that need to be resolved decisively to have the full support of the U.S. federal bureaucracy. Although the policy community generally supports the development of such a capability, there are some dissenting voices and concerns that having such a capability may make it more likely that the United States will adopt a more interventionist policy and thus use the capability more frequently.⁴⁸ To the extent that doubts about the underlying issues remain, and they are evident in the ambivalent nature of congressional action toward S/CRS, they weaken the momentum in building interagency capabilities for SSTR operations.⁴⁹ Although the preceding is applicable to the civilian agencies and departments, it is also not a given in our view that the greater stress on SSTR operations is accepted as a permanent shift even within the DoD, since the change means altering the military services' long-standing focus on warfighting and, from a bureaucratic-organizational perspective, the shift has resource implications for all of the services.

Basic Dilemma

From an organizational perspective, the stakeholder most interested in seeing the successful implementation of NSPD-44 and the evolution of S/CRS into a strong interagency coordinating body is the DoD. Within the DoD, the land forces (the Army and the Marine Corps) have the

⁴⁸ Some arguments against this concept have come from ideologically oriented think tanks, such as the Cato Institute, but the arguments are by no means limited to such institutes.

⁴⁹ For the status of legislation concerning S/CRS, see Serafino and Weiss (2006).

greatest interest in seeing S/CRS succeed, since the land forces, in particular the Army, are the main providers of the military capabilities required to support SSTR operations. Bringing in the capabilities of the civilian departments and agencies to carry out tasks in SSTR operations would reduce the demands on the Army. The transfer of \$100 million per year in FY 2006 and FY 2007 from the DoD to S/CRS makes it clear that this is a recognized interest. But the flip side of the preceding is that the Army is also in the position of having to prepare to step in should S/CRS not be able to meet some of its obligations and the process envisioned in NSPD-44 falls short of its goals. There is no choice in the matter for, as DoDD 3000.05 recognizes explicitly, SSTR operations may impose broad demands on the United States and the DoD will step up to meet them.

This leads to a basic dilemma for the DoD and the Army. If the DoD, and primarily the Army, continues to develop the capabilities to implement U.S. goals in SSTR operations, then the incentives are reduced for the civilian departments and agencies to participate in making their expertise and personnel available for potential SSTR operations and the need for an office, such as S/CRS, may become less clear, as the capability may be seen as redundant. Planning for the case where S/CRS plays a weak coordinating role may make this all the more likely, despite the DoD's clear preference that this not occur. However, it is not tenable to assume that NSPD-44 will be implemented fully, as it risks a lack of appropriate capabilities by the armed forces. Put more succinctly, the Army and the DoD are in the position of simultaneously trying to move forward the interagency process envisioned in NSPD-44 and planning to provide all of the needed capabilities if the process fails to accomplish its stated objectives.

Finally, although the Army has a great stake in the success of the process outlined in NSPD-44, it has limited leverage in influencing the overall interagency process. Put in terms of what is at stake, it is not yet a given that a lasting change toward an interagency approach to SSTR operations, as outlined in NSPD-44, will take place. The Army as an institution has some influence on the process but ultimately this is a government-wide change that needs to happen.

Current Stage of Building Interagency Collaborative Capacity for SSTR Operations

The documents and the organizational changes described above amount to a series of inputs but, ultimately, measuring the success of the process depends on outputs, with the primary output being the creation of interagency collaborative capacity for SSTR operations. That is the intent behind NSPD-44 and the actions spurred or legitimated by it. Focusing on the actual output rather than on specific agents that might carry the process forward has the benefit of assessing progress toward the overall objective. Even if S/CRS evolves substantially or does not survive in its current form, the successful creation of interagency collaborative capacity for SSTR operations will reduce the demands on the DoD and the Army in potential SSTR contingencies.

We define interagency collaboration as “activities by agencies intended to increase public value by having these agencies work together rather than separately.”⁵⁰ However, getting agencies to work together is no easy matter, even if there is widespread agreement on the validity and usefulness of such collaboration.⁵¹ That basic principle of public administration applies to the process of mobilizing U.S. government departments and agencies for purposes of increasing U.S. capabilities in SSTR operations. The outstanding issues and the basic dilemma for the DoD that we identified above indicate that success in creating collaborative interagency capacity for SSTR operations is far from certain.

One of the few recent conceptual studies to look closely at the process of creating interagency collaborative capacity notes the following elements as essential to success: “leveraging personnel and financial resources for collaborative purposes, designing and managing an effective operating system, reaching and maintaining consensus on basic goals and on tradeoffs among relevant subgoals, creating an effective culture or ethos of interpersonal working relationships, and

⁵⁰ Bardach (1998), p. 17.

⁵¹ Wilson (1989); and Downs (1967).

securing the implicit or explicit consent of elected officials.”⁵² Collaborative capacity, thus defined and explained, has both objective and subjective components. The objective components are straightforward and include “formal agreements at executive level; personnel, budgetary, equipment, and space resources assigned to collaborative tasks; delegation and accountability relationships that pertain to those tasks; the various administrative services that support all this collaborative work.”⁵³ But just as important, and more difficult to measure, are the more subjective components, including “relevant individuals’ expectations of others’ availability for, and competency at, performing particular collaborative tasks. These expectations are often built around beliefs in the legitimacy and desirability of collaborative action directed at certain goals, the readiness to act on this belief, and trust in the other persons whose cooperation must be relied on for success.”⁵⁴

With the above in mind, we assess the state of creating interagency collaborative capacity for SSTR operations to identify areas where the Army might take steps to assist in the process. We focus on both the formal and informal aspects. We use a template of key practices identified by the U.S. Government Accountability Office (GAO) as crucial in assisting and sustaining collaborative efforts among government agencies.⁵⁵ The key practices are derived from literature review and prior GAO work on the issue of interagency collaboration. The key practices are

- define and articulate a common outcome
- establish mutually reinforcing or Joint strategies
- identify and address needs by leveraging resources
- agree on roles and responsibilities
- establish compatible policies, procedures, and other means to operate across agency boundaries

⁵² Bardach (1998), p. 18.

⁵³ Bardach (1998), pp. 20–21.

⁵⁴ Bardach (1998), p. 21.

⁵⁵ U.S. Government Accountability Office (2005).

- develop mechanisms to monitor, evaluate, and report on results
- reinforce agency accountability for collaborative efforts through agency plans and reports
- reinforce individual accountability for collaborative efforts through performance management systems.

Of these eight key practices, we look at the first four closely, as they represent the more basic elements of interagency collaboration that are more in line with the early stage of building interagency collaborative capacity for SSTR operations. First, we define the key practice, then we assess the current state of interagency collaborative capacity for SSTR operations, and finally we provide options for the Army to move the process forward.

1. Define and Articulate a Common Outcome. GAO defines this key practice in the following way:

To overcome significant differences in agency missions, cultures, and established ways of doing business, collaborating agencies must have a clear and compelling rationale to work together. The compelling rationale for agencies to collaborate can be imposed externally through legislation or other directives or can come from the agencies' own perceptions of the benefits they can obtain from working together. In either case, the collaborative effort requires agency staff working across agency lines to define and articulate the common federal outcome or purpose they are seeking to achieve that is consistent with their respective agency goals and mission. Moreover, the development of a common outcome takes place over time and requires sustained resources and commitment.⁵⁶

The primary actors currently involved in the process are the DoD and the State Department. The change in the State Department's orientation toward Transformational Diplomacy and the DoD's ongoing engagement in SSTR operations and potential for more such operations as part of U.S. counterterrorist actions provide a "clear and com-

⁵⁶ U.S. Government Accountability Office (2005), p. 11.

elling rationale” for the DoD and the State Department to work together. The “common purpose” is successful conflict prevention and conflict mitigation in the post-9/11 security environment, as defined in the National Security Strategy. The two directives, NSPD-44 and DoDD 3000.05, provide specific guidance and rationale to their efforts. Some examples showing that the two departments are developing interagency collaborative capacity effectively are the close working relationship between S/CRS and JFCOM, the support that the DoD has provided (in personnel and resources) to S/CRS, and USAID reorganization and its work with the DoD.

On the other hand, we do not discern yet a “clear and compelling” rationale for departments other than State and Defense to work together in implementing NSPD-44. Although NSPD-44 puts forth a goal of improved interagency coordination, it falls short of outlining a unifying strategic vision for the interagency process in SSTR operations. The Departments of Justice and Treasury, as well as the intelligence community have participated at a low level in the S/CRS-led efforts to build interagency collaborative capacity on SSTR operations. Other departments and agencies have not played a meaningful role in the process, however. The behavior can be explained from an organizational perspective, as the largely domestic focus of the other departments and agencies makes support to foreign SSTR deployments a new mission (and one that is secondary to those agencies’ main roles) and creates additional demand for resources.

The executive-level guidance that NSPD-44 represents has not been followed up by any legislative action, which is an indication of less than full government backing. In fact, congressional action regarding S/CRS has been decidedly ambivalent. The U.S. Senate has not approved making S/CRS a permanent office, the U.S. House of Representatives has authorized the establishment of an Active Response Corps but has withheld funding for it, and the U.S. Senate has allowed the transfer of funds from the DoD to the State Department to support the Conflict Response Fund but only for a two-year period.⁵⁷ The

⁵⁷ Serafino and Weiss (2006). Status of legislation from the Library of Congress THOMAS.

problem with executive-level guidance is that it can be superseded quickly. The example of PDD-56 (never fully implemented and then superseded by NSPD-44) is a case in point. Although lack of congressional action has the clearest effect on the participation of other departments and agencies in complying with NSPD-44, it also has the effect of strengthening bureaucratic disincentives in the DoD and the State Department toward the fundamental changes envisioned in NSPD-44 and DoDD 3000.05. At minimum, the lack of congressional action and ambiguous moves on resource appropriations to S/CRS put into question the availability of sustained resources and commitment to the process at the level of national policy.

In an overall sense, there are important aspects to this key practice that are still missing in terms of creating interagency collaborative capacity on SSTR operations, including a lack of legislative action in support of NSPD-44 and limited organizational incentives for departments other than the DoD and the State Department to participate in the process of complying with NSPD-44. These are national-level policy issues and they illustrate the Army's low leverage over the process. That said, the Army can act as a catalyst to the process on two levels.

The Army has the greatest leverage at the level of direct civilian agency collaboration with Army forces. The three-team operational concepts put together by S/CRS, and especially the FACTs, entail close cooperation between civilians and Army forces on the ground. Since the role envisioned for the FACTs is akin to the role of PRTs, the Army can draw on a wealth of experience from PRTs in Afghanistan and similar teams in the Balkans and this can contribute to a template for the FACTs. Although PRTs are province-specific and require skill sets that are tailored to specific situations, there is room for identification of the standard elements of a PRT, the additional assets that may be required depending on the demographic and economic characteristics of the province, and a methodology for determining the appropriate skill sets and capabilities that might be required. Drawing on the Army's experience with PRTs, it can contribute to clarifying the skill sets needed and the extent of expertise that civilian departments and agencies could contribute. We are aware of many studies of PRTs, but

we have not found any that address such questions.⁵⁸ U.S. Training and Doctrine Command (TRADOC) and the Peacekeeping and Stability Operations Institute (PKSOI) (relying on resources at the Center for Army Lessons Learned (CALL)) are in a good position to provide this kind of an input. Although the above applies especially to FACTs, identifying the skill sets required also would drive the composition of the IPC and even the CRSG. In this sense, the Army would have an input into the shape of the overall implementation process and make clear the rationale for participation of other departments and agencies in building interagency collaborative capacity for SSTR operations.

At the level of a unifying strategic vision for the interagency process in SSTR operations, the Army's research institutes, such as the Army War College (AWC) (or DoD-level institutes, such as the National Defense University),⁵⁹ can play a role by identifying how the civilian departments and agencies might contribute. Through mechanisms such as workshops and conferences, the effort might include the identification of primary departments and agencies, existing obstacles to their participation in planning and implementation of SSTR operations, and long-term plans of action to make compliance with NSPD-44 a reality. It is our assumption that the above steps would be helpful in attracting greater support by the legislative branch. We assume this because signs of potential solutions and efficient use of resources would attract congressional support and backing, thus giving the process greater momentum to overcome organizational-bureaucratic obstacles.

2. Establish Mutually Reinforcing or Joint Strategies. GAO defines this key practice in the following way:

To achieve a common outcome, collaborating agencies need to establish strategies that work in concert with those of their partners or are joint in nature. Such strategies help in aligning

⁵⁸ U.S. Agency for International Development (2006b); and United States Institute of Peace (2005).

⁵⁹ Our discussions have shown that interaction with DoD and Army civilians may be a preferable way to start the process because of the cultural differences between civilian agencies and the military. Thomas Szayna discussions with staff at AWC and S/CRS, September 2006.

the partner agencies' activities, core processes, and resources to accomplish the common outcome.⁶⁰

The establishment of S/CRS, changes in USAID, and reorientation of the State Department toward Transformational Diplomacy, combined with DoD 3000.05, have put in place a direction of change in both the DoD and the State Department that is mutually reinforcing. All four "pillars" discussed above are examples of closely aligned and jointly developed strategies and concepts that rely on expertise in both departments. There is an issue of how deep changes in the DoD actually run and the extent to which they represent a temporary adaptation driven in part by ongoing operations rather than by a basic reformulation of goals. Our research indicates that the Army is gradually incorporating the ETM into its doctrine, although the depth of these changes is still relatively shallow (we discuss these issues at length in Chapter Three). Similarly, the *Draft Planning Framework* is not yet part of the military planning process. It remains a draft and real change in practices will not happen until it or a successor document becomes the main foundation for the SSTR planning process. These changes may take place in the near future, but we note that the changes are not a given and they go against some organizational-bureaucratic interests.

Our discussions did not reveal that any agency or department, other than the State and Defense Departments, has refocused its mission, attempted to harmonize strategy, or adjusted its resources in any meaningful manner to comply with NSPD-44. Just as in the first key practice, the behavior can be explained from an organizational-bureaucratic perspective of a seemingly new mission that makes demands on existing resources.

In general, there are important aspects of this key practice that are still missing, most of all an interagency strategic plan, flowing from NSPD-44, that would identify appropriate goals and benchmarks for the various agencies and departments that can contribute capabilities to SSTR operations. Such a plan would provide the basis for individual agencies and departments to work out strategies on complying with

⁶⁰ U.S. Government Accountability Office (2005), p. 14.

the goals and putting up resources in support of them. Developing an interagency strategic plan is a task for S/CRS, as the coordinator of the interagency efforts. This is an interagency-level issue and the Army has low leverage over the process. However, the Army is in a position to contribute to the process and can help jump-start it. As with the first key practice, the Army can act to advance the process on two levels.

At the tactical level of civilian agency collaboration with Army forces, standardization of terms and concepts is needed. Since Army forces will work directly with non-DoD civilians in FACTs, without a common terminology for all participants in SSTR operations there are bound to be misunderstandings that may easily escalate to the level of souring cooperation and complicating mission accomplishment. The Army has a well-developed set of terms applicable to SSTR operations. TRADOC is in the position of spearheading an effort to prepare an interagency glossary as part of the training materials for the civilians in FACTs who would interact with Army forces. Such a glossary might become the foundation for a Joint and interagency publication that would be binding for the interagency participants in a SSTR operation.⁶¹ The specific definitional problems and the complications they pose for Army doctrine and Army participation in interagency and Joint realm are discussed at more length in Chapter Three.

At the level of an interagency strategic plan of action, the Army's leverage is low, although the Army can act to move the process forward. Army expertise in detailed planning and familiarity with SSTR operations can provide the basis for DoD- or JFCOM-led efforts to assist S/CRS in working out a plan of action, ensure coordination, develop metrics, and provide periodic assessments of progress.⁶² The last point is especially important, as studies have shown that interagency collaboration can move forward if it is tied to specific measures

⁶¹ A similar recommendation at the Joint level was put forth by IDA researchers Lidy et al. (2006), p. ES-22.

⁶² If funded, the planned Center for Complex Operations (a "hub" within the DoD to synchronize military and civilian efforts for SSTR-related efforts) is one potential sponsor of such efforts. The Army is in a position to assist it with expertise and staffing.

of progress.⁶³ A way to catalyze the process is through workshops and exercises involving all of the stakeholders. Just as with the preceding key practice, the Army's or DoD's research institutes can be the catalysts for the process. The effort does not need to start from scratch, in that there is a wealth of experience in building interagency Joint strategies, and some examples of such cooperation stand out as successful and worthy of emulation.⁶⁴

3. Identify and Address Needs by Leveraging Resources. GAO defines this key practice in the following way:

Collaborating agencies should identify the human, information technology, physical, and financial resources needed to initiate or sustain their collaborative effort. Collaborating agencies bring different levels of resources and capacities to the effort. By assessing their relative strengths and limitations, collaborating agencies can look for opportunities to address resource needs by leveraging each others' resources, thus obtaining additional benefits that would not be available if they were working separately.

This key practice refers to an assessment of how the various agencies and departments might contribute to the common objective and how their resources might be integrated most effectively into a strategic plan of action. The State and Defense Departments are engaged in a major internal effort to identify the capabilities and resources available for SSTTR operations and capability areas that need to be strengthened. The DoD 3000.05 Gap Analysis study is an example of this process. But to fulfill the intent of NSPD-44, the effort needs to widen beyond these two departments. We learned during our discussions that, as part of the NSPD-44 implementation effort, S/CRS has set up working groups to identify the capabilities that other agencies and departments may bring regarding SSTTR operations,⁶⁵ including the Departments of

⁶³ Page (2003), pp. 311–340.

⁶⁴ For some examples, see U.S. Government Accountability Office (2005).

⁶⁵ This effort began in the fall of 2006. Thomas Szayna discussions with staff at S/CRS, September 2006.

Education, Justice, Treasury, Health and Human Services, Commerce, Agriculture, and Homeland Security.

A recent IDA study provided a comprehensive assessment of the expertise that the other agencies and departments might contribute, their funding levels, and potential tasks that they could undertake in SSTR operations.⁶⁶ To move to the next step of integrating the actual contributions of these agencies and departments, they need to be drawn into a collaborative process that relies on a common vision and where the other agencies see opportunities for enhancement of their own interests through participating in the process.

Although the Army has low leverage over the involvement of civilian agencies and departments in the process, it can help make easier the integration of capabilities from other agencies and departments. This process would include at least following three steps: (1) The Army can assess the constraints to more effective cooperation with civilians through an effort aimed at identifying interagency lessons from operations in Afghanistan and Iraq. Such an effort, probably led by TRADOC and relying on the resources at CALL, would complement the effort to draw out the skill sets needed through a study of PRT experiences. The result would give an Army input into clarifying the extent of involvement and the role of civilian agencies and departments in SSTR operations. (2) At a more general level, TRADOC (and specifically the Army Capabilities Integration Center [ARCIC]) are in a position to work out Army-specific concepts for successful integration of civilian agencies in SSTR operations, based on existing Joint doctrine on Interagency operations⁶⁷ and Army Civil Affairs doctrine. (3) The Army can play the role of catalyst in increasing greatly the capabilities of civilian agencies for SSTR operations through specific loaning of staff, thereby providing the planning expertise, knowledge about requirements, and ideas on efficient integration of staff. In addition, such staff exchanges would advance the process of developing SSTR operations expertise in other agencies and would build habit-

⁶⁶ Lidy et al. (2006).

⁶⁷ U.S. Joint Forces Command (2006a).

ual relationships and establish the basis for deeper involvement and collaboration.

4. Agree on Roles and Responsibilities. GAO defines this key practice in the following way:

Collaborating agencies should work together to define and agree on their respective roles and responsibilities, including how the collaborative effort will be led. In doing so, agencies can clarify who will do what, organize their joint and individual efforts, and facilitate decisionmaking. Committed leadership by those involved in the collaborative effort, from all levels of the organization, is also needed to overcome the many barriers to working across agency boundaries.

A properly functioning interagency framework will necessitate the designation of a lead agency and appropriate supporting agencies for each major task in SSTR operations. Such delineation will need to follow on an identification of capabilities and an understanding of the resources needed to fulfill the task. The point is to make clear the objectives for each agency and department and then tie their incentive systems, both personal and institutional, to these goals.⁶⁸ Clarity of goals and specific agency roles is an essential first step.⁶⁹ The effort to work out agency roles and responsibilities can build on the recent IDA study of civilian agencies' capabilities as well as the studies in the 1990s that identified lead and supporting agencies for specific peace operations tasks.⁷⁰

Addressing this key practice is still in an early stage of implementation. Ultimately, the lead agencies, coordinated by S/CRS, will need to develop and periodically update a set of guidelines—or *Interagency Standards for SSTR Operations*—for their cooperation in planning

⁶⁸ Such an incentive system cannot undermine a manager's core agency or department mission. Thomas (2003).

⁶⁹ Empirical research shows that high organizational goal ambiguity is negatively related to managerial effectiveness and organizational performance. Chun and Rainey (2005), pp. 529–557.

⁷⁰ Lidy and Packer (1999).

and executing SSTR operations. The guidelines would make explicit the command and control arrangements, scope of participation, and expectations of each agency involved in the process. Although S/CRS has the clear lead, established in NSPD-44, in working out the agency roles, the DoD and the Army have some leverage on the process, and existing Joint and Army doctrine on interagency operations may provide the basis for the interagency guidelines. TRADOC (and specifically ARCIC) is in a position to work out the Army-relevant concepts for these guidelines.

In addition, the Army can help move the process forward and it can provide mechanisms that will help clarify agency roles in SSTR operations. The primary way to accomplish this is through workshops and exercises involving wide participation from civilian agencies. As part of these exercises, participants may be forced to deal with issues of agency roles, transfer of leadership, the manner in which the surge capacity of specific agencies might be brought into an operation, and the effect of SSTR commitments on an agency's resources and ability to carry out its domestic responsibilities. Only in the process of actual exercises will the civilian agencies and departments be forced to deal with procedural issues and questions of responsibilities in such areas as logistics, financial structures, or communications protocols and infrastructure.⁷¹ Yet in actual conditions on the ground, these are the crucial elements of a successful collaborative effort to carry out SSTR operations. These exercises could be led by Army research institutes, such as the Army War College, or, with Army co-sponsorship, DoD-level institutes such as the National Defense University or Joint commands such as JFCOM.

The Army has more leverage in influencing the process of delineating agency roles by using the experience of Army forces in cooperation with civilian agencies in Afghanistan, Iraq, and the Balkans.

⁷¹ It will also be in such settings that issues about skilled management and agency performance will become clear. Recent empirical studies indicate that the DoD and the military services are among the best performing of the U.S. federal agencies and departments. See Brewer (2005), pp. 505–527. Simulations of trust dynamics in interagency settings might be instructive in dealing with potential loss of trust as a result of increased interaction. See Herting and Hamon (2004), pp. 30–52.

The wealth of data on these operations at CALL allows the Army to provide informed advice as to the successful command arrangements in the field and an assessment of the reachback capabilities of civilian agencies. An Army research institute, such as PKSOI, is one candidate to lead such an effort. Besides influencing the high-level arrangements, this would allow the Army to ensure a more effective way for FACTs to function. Thus the Army would have an input as to the form of participation of other departments and agencies in SSTR operations.

Sustaining Interagency Collaboration

The eight key practices are roughly in order of priority in terms of development of interagency collaborative capacity regarding a specific area. There is still much work ahead for S/CRS, with DoD and Army assistance, to accomplish the preceding four key practices. The second four practices are more relevant to ensuring that interagency collaborative capacity is sustained and continues to develop. We note these practices in a brief format below.

5. Establish Compatible Policies, Procedures, and Other Means to Operate Across Agency Boundaries. GAO defines this key practice in the following way:

To facilitate collaboration, agencies need to address the compatibility of standards, policies, procedures, and data systems that will be used in the collaborative effort. Furthermore, as agencies bring diverse cultures to the collaborative effort, it is important to address these differences to enable a cohesive working relationship and to create the mutual trust required to enhance and sustain the collaborative effort. Frequent communication among collaborating agencies is another means to facilitate working across agency boundaries and prevent misunderstanding.

6. Develop Mechanisms to Monitor, Evaluate, and Report on Results. GAO defines this key practice in the following way:

Federal agencies engaged in collaborative efforts need to create the means to monitor and evaluate their efforts to enable them to identify areas for improvement. Reporting on these activities can

help key decision makers within the agencies, as well as clients and stakeholders, to obtain feedback for improving both policy and operational effectiveness.

7. Reinforce Agency Accountability for Collaborative Efforts Through Agency Plans and Reports. GAO defines this key practice in the following way:

A focus on results, . . . implies that federal programs contributing to the same or similar results should collaborate to ensure that goals are consistent and, as appropriate, program efforts are mutually reinforcing. Federal agencies can use their strategic and annual performance plans as tools to drive collaboration with other agencies and partners and establish complementary goals and strategies for achieving results. Such plans can also reinforce accountability for the collaboration by aligning agency goals and strategies with those of the collaborative efforts. Accountability for collaboration is reinforced through public reporting of agency results.

8. Reinforce Individual Accountability for Collaborative Efforts Through Performance Management Systems. GAO defines this key practice in the following way:

High-performing organizations use their performance management systems to strengthen accountability for results, specifically by placing greater emphasis on fostering the necessary collaboration both within and across organizational boundaries to achieve results. Within the federal government, the Office of Personnel Management (OPM) and OMB [Office of Management and Budget] now require such emphasis under the new performance-based pay system for agency senior executives. Under this system, agencies are to hold executives accountable for, among other things, collaboration and teamwork across organizational boundaries to help achieve goals by requiring the executives to identify programmatic crosscutting, and partnership-oriented goals through the performance expectations in their individual performance goals.

At this stage of development of interagency collaborative capacity regarding SSTR operations, the preceding four key practices apply only to the State and Defense Departments. The four pillars provide a foundation to sustain and expand the collaboration but the scope of collaboration has to expand to include other civilian agencies and departments to be effective. ETM provides the basis for common understanding of tasks, and the options for the Army we outlined above, such as an Interagency Standards handbook and an online dictionary of terms binding for all participants, would make easier the establishment of compatible policies and procedures at the interagency level.

The one critical area that remains in development is a set of metrics for evaluating the progress in building interagency collaborative capacity for SSTR operations. The *Draft Planning Framework* contains a reference to such metrics as one of the essential parts of S/CRS-led process of organizing the interagency for SSTR operations⁷² and we are aware that a draft document on metrics has been prepared for S/CRS. To be useful, the set of metrics to gauge the evolution of interagency capabilities will need to be based on outcome measures. The DoD and the Army, with their well-developed systems of planning and evaluation, are in a position to assist in the process.

For the effort to become institutionalized, individual and organizational incentive systems will have to reflect the importance of preparing for SSTR operations. At the organizational level, these incentives will need to include access to additional funds, whereas at the individual level, accomplishments in the SSTR interagency work will need to assist in career advancement and promotion. The latter also applies to the DoD and the Army, in that Army officers loaned to other agencies for the purpose of assisting them in the building of interagency capability for SSTR operations will find such assignments beneficial for advancing their careers, just as Joint service currently provides such an advantage.

⁷² U.S. Joint Forces Command J-7 and the U.S. Department of State (2005), p. 4.

Conclusions

There has been a great deal of activity at the interagency level and within the DoD when it comes to rethinking the planning, coordination, and execution of SSTR operations. The essence of the rethinking centers on the refocusing of the objectives toward accomplishing a sustainable peace, rather than on just prevailing during major combat operations, and on the harnessing of all the available U.S. (and partner) resources in a unified fashion to ensure successful transition to sustainable peace. The main pillars of such a transformation are in place, but it will take some time before the intent behind the executive-level directives takes hold. Our assessment is that this process has not yet progressed far. There is close cooperation between the Departments of Defense and State, but when it comes to other agencies and departments, the process has come up against organizational-bureaucratic obstacles and incentive systems that are not conducive to the building of collaborative interagency capacity for SSTR operations.

Whether or not the objectives outlined in NSPD-44 and DoDD 3000.05 are met, the Army has a major stake, but little leverage, in the process. Focusing on the overall objectives of the process and breaking down the usual civil-military distinctions offers a potential way for the Army to advance the process. Routinizing the participation of civilian agencies in the Army's exercises and planning offers a way for the Army to catalyze the process and accomplish the larger goal of building interagency collaborative capacity for SSTR operations.

Army Doctrine in the Context of Interagency SSTR Operations

Introduction

The S/CRS Essential Tasks Matrix is one of what we have identified as the four basic pillars of the U.S. government's rethinking of SSTR operations. We described the ETM briefly in Chapter Two. As the ETM articulates the potential interagency tasks to be accomplished during a SSTR operation, it is essential that the Army be doctrinally prepared to support the ETM.¹ This chapter focuses on the extent to which current and emerging U.S. Army doctrine supports the essential tasks identified by the ETM as being required to establish a safe and secure environment during SSTR operations—the ETM mission area that U.S. ground forces are uniquely capable of conducting.

In this chapter, first we discuss the importance of the ETM for Army doctrine and explain how we “translated” the essential tasks in the ETM security technical sector into Army Tactical Tasks. We then discuss in detail the results of this translation process, where we identify gaps and shortfalls within current and emerging Army doctrine. We examine whether and to what extent such gaps exist and provide recommendations regarding potential doctrinal solutions to address the identified doctrinal gaps. Then we discuss briefly omissions within the ETM. Finally, drawing on our examination of the ETM and Army

¹ Such preparation also will improve the Army's ability to conduct domestic civil support operations in response to both manmade and natural disasters.

doctrine, we discuss the need for common SSTR operations-related definitions.

Our Approach to Translating the ETM

Doctrinally, the ETM is important because it has emerged as a recognized source of SSTR operations tasks that the military might be required to perform. Emerging Joint doctrine recognizes the ETM as a major source for a detailed description of the tasks required during peace-building operations.² The new FM 3-0 (*Full-Spectrum Operations*) will align Army stability operations types (civil security, civil control, provision of essential services, governance, and support to economic and infrastructure development) with the ETM's five technical sectors. This process, although not a one-for-one translation, will link Army operations to future interagency SSTR efforts to build a solid basis for interagency cooperation and coordination and to help establish the conditions for sustainable peace on the ground. This alignment is to be reflected and expanded on in FM 3-07 (*Stability and Support Operations*).³ Although not explicitly linked to the ETM, the four stability operations mission areas articulated in JP 3-0 (*Joint Operations*) (maintain or reestablish a safe and secure environment, provide essential government services, emergency infrastructure reconstruction, and humanitarian relief) are broadly congruent with those developed by S/CRS.⁴

The ETM is a detailed list of tasks, some of which may need to be conducted by ground forces in a future post-conflict SSTR operation, but it is not currently in a form readily usable for Army doctrinal purposes. The ETM consists of 1,178 individual tasks that differ greatly

² U.S. Joint Forces Command (2006b), pp. IV-18, V-1.

³ Derek Eaton and Thomas Szayna discussion with Combined Arms Doctrine Division (CADD) staff, September 13, 2006.

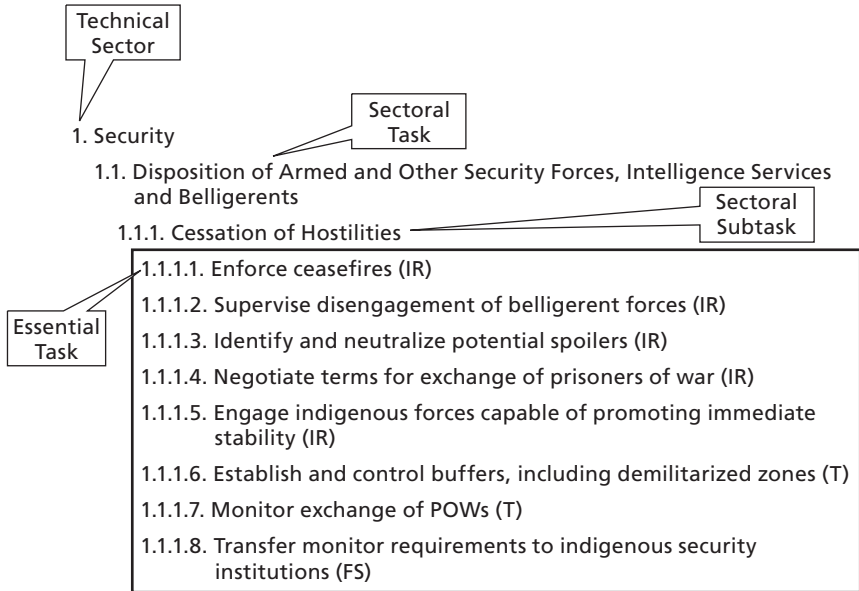
⁴ One difference, however, is that JP 3-0 gives less prominence to economic development in its high-level definition of stability operations. U.S. Joint Forces Command (2006d), p. V-1.

SSTR operations, then the armed forces will need to understand what the tasks in the ETM mean in terms of their doctrine. In practical terms, this means some structural-level correspondence between the ETM and Joint and Army doctrine. We see the basic S/CRS planning framework and the five ETM technical areas as roughly at the level of Capstone doctrine. The ETM's sectoral tasks are roughly at the level of Keystone doctrine. Individual tasks in the ETM are roughly at the level of supporting doctrine and TTPs. For Army personnel to be able to carry out effectively the tasks discussed at the interagency level using the ETM, those tasks and concepts will need to be reflected in Army doctrine.

We examined the Army doctrinal ability to meet emerging interagency expectations for SSTR operations, as laid out in the ETM, by way of a four-step process. First, we created a numerical taxonomy for the ETM. We did so to create a common reference language that could be used during our analysis. Second, we attempted to align each ETM essential task in the security sector with an existing Army Tactical Task (ART). We used the September 2003 edition of FM 7-15 (*The Army Universal Task List* [AUTL]) as the primary reference for the task. We compared our results with the Change 2 version of FM 7-15 (July 2006), when it became available to us. The process allowed us to identify gaps and areas of concern within both existing and emerging Army doctrine. Finally, having identified potential problems, we formulated and proposed a range of doctrinal solutions to address them. We explain these steps in more detail below.

The first step in our translation process was to impose a numerical hierarchy on the ETM to establish a common reference language, since the terminology for task areas below technical sector level in the ETM was not entirely clear. We identified four hierarchical levels: technical sector, sectoral task, sectoral subtask, and essential task. Hierarchical levels were nested within their immediately superior level and numbered sequentially (see Figure 3.2). This resulted in each essential task being given a unique AUTL-like four-digit identifier. Appendix B presents this numerical taxonomy, as well as additional details on its derivation. Because several of the essential tasks were in themselves "compound" missions containing related but distinct tasks, we sometimes further

Figure 3.2
Essential Tasks Matrix Taxonomy



RAND MG646-3.2

divided essential tasks during the translation process. When this was the case, we added an alphabetical suffix. For example, the ETM essential task 1.1.1.3, “identify and neutralize potential spoilers,” consists of two analytically distinct tasks. We gave the first task, “identify potential spoilers,” the suffix A and thus labeled it as 1.1.1.3A. We then identified the second task, “neutralize potential spoilers,” as 1.1.1.3B. We did not apply this type of subdivision to every compound task. Instead, we used it for those tasks that we considered particularly salient.

After creating the taxonomy, we then attempted to align every essential task in the ETM security technical sector with an ART in the AUTL.⁶ We proceeded along the following lines. We examined the

⁶ Initially, we aligned each ETM essential task (security area) with an essential task from the Universal Joint Task List (UJTL). We found that this intermediate step yielded a few useful insights but it was not essential to our analysis. We used the August 2003 version of FM 7-15.

definition provided for each ART and its accompanying measures of performance to determine which ART was the best fit for each essential task. Since the AUTL is intended, albeit imperfectly, to reflect all doctrinally significant collective tasks, we used this process to identify gaps in current doctrine regarding SSTR operations. This exercise made it clear to us that many significant SSTR operations essential tasks can be found only analogously in the AUTL and thus, by implication, in Army doctrine. An analogous ART is one that generally appears to encompass the ETM essential task, but which is either used in a different context or which by definition excludes important SSTR operations requirements. An example of this is ART 5.3.5.5 (Conduct Local Security Operations). On one level, most of the requirements for this ART are consistent with the need to protect host nation critical installations. However, the term *Security Operations* refers to the need to prevent surprise and to enhance the freedom of action of tactical units in an area of operations.⁷ In addition, as an integral part of the protection mission, *Security Operations* tasks apply only when they are carried out in protection of U.S. and coalition forces' military facilities.⁸ This exercise also helped identify doctrinal areas where only broad catchall ARTs exist to encompass multiple tasks, in itself a fact that points out a potential lack of supporting doctrine and TTPs. ARTs for peace operations and security assistance are examples of such catchall ARTs.

Aligning the ETM essential tasks with existing ARTs allowed us to identify key insights regarding existing and emerging stability operations doctrine, pointed out the potential gaps in Army doctrine relating to support for SSTR operations, and led us to propose doctrinal solutions. On the basis of our research, we identified four main insights. First, although the new FM 3-07 is a step forward in terms of integrating many SSTR operations concepts into emerging Army doctrine, past experience suggests that it is important to ensure that supporting doctrine and TTPs are developed as needed to provide the practical foundation for higher-level doctrinal concepts. Second, although criti-

⁷ Headquarters, Department of the Army (2006c), pp. 5-60–5-61, and (2001), pp. 12–32.

⁸ Derek Eaton and Thomas Szayna discussions with CADD staff, May 2006.

cal ETM task areas are beginning to be addressed in emerging doctrine (as we currently understand it), several areas remain that are insufficiently supported by emerging doctrine. These areas include the key tasks of civil protection, border control, the provision of law and order to host nation populations, and the development of host nation security forces. In addition, essential concepts, such as civil security, need to be developed further and broadly incorporated into Army doctrine. Third, the AUTL hierarchy and associated ART definitions need to be adjusted to account for the formal elevation of SSTR operations to be a coequal of major combat operations. Finally, and closely related to the above three requirements, as higher-level doctrinal documents address critical SSTR operations tasks, it is necessary to ensure that supporting field manuals (FMs) and TTPs required to execute these tasks are also developed. These insights are explained in more detail below.

ETM Security Sector Tasks Translated into Army Tactical Tasks

One key objective of our analysis of Army doctrine's ability to support interagency SSTR operations was to identify existing Army Tactical Tasks that encompassed ETM essential tasks. This section provides an overview of that process and presents the results of our translation efforts.

The ETM consists of five technical sectors: security, governance and participation, humanitarian assistance and social well-being, economic stabilization and infrastructure, and justice and reconciliation. In emerging Army doctrine, these technical sectors will be aligned with the following five basic types of stability operations: civil security, governance, provision of essential services, support to economic and infrastructure development, and civil control.⁹ We have focused on the first of these technical sectors, security, as it is likely to be the primary Army force driver in any future major SSTR operations and because it is the technical sector that U.S. land forces are uniquely capable of

⁹ Derek Eaton and Thomas Szayna discussions with CADD staff, September 13, 2006.

conducting.¹⁰ This technical sector has the following primary goals: establishing a safe and secure environment, developing legitimate and stable security institutions, and consolidating the indigenous capacity to maintain security.¹¹ This technical sector broadly equates with the stability operation task of establishing civil security, which the draft version of FM 3-0 defines as safeguarding the populace from serious external and internal threats.¹² The security technical sector also encompasses the stability operations tasks of securing and safeguarding the populace, reestablishing civil law and order, and protecting key infrastructure that are articulated in JP 3-0.¹³ U.S. land forces could also have a significant supporting role to play in two other technical sectors: humanitarian assistance and infrastructure. Humanitarian assistance could require the provision of security as well as significant logistics, health, and engineering support. Infrastructure also has the potential to make major demands on military logistics and engineering resources, particularly in situations where security remains an issue.¹⁴ Finally, the justice technical sector includes some policing elements, the most important of which is the reconfiguration and training of the existing indigenous police force.

As noted above, this report focuses on the security technical sector because it is the one which U.S. ground forces, primarily the Army and the Marine Corps, are uniquely qualified to conduct and it is the one that will be the most manpower intensive. In addition, security is a prerequisite for effective execution of tasks in other sectors. Finally, although the ground forces can and will play an important role in han-

¹⁰ Although this report focuses on the security technical sector, the U.S. Army is also likely to be required to execute essential tasks in the humanitarian assistance and infrastructure technical sectors. It is thus advisable that the Army also undertake a thorough examination of the doctrinal requirements necessary to support those missions.

¹¹ U.S. Department of State (2005b), p. I-1.

¹² Derek Eaton and Thomas Szayna discussions with CADD staff, September 13, 2006.

¹³ U.S. Joint Forces Command (2006d), p. V-24.

¹⁴ These potential demands suggest that the Army's sustainment, health support, and engineering doctrine also needs to be thoroughly vetted to ensure that the Army is as adequately prepared to support these technical sectors as it is to conduct security-related tasks.

ding tasks in the other technical sector, ideally the role will be one of supporting other government agencies and international actors.

The security technical sector has seven sectoral tasks:

1. disposition of armed and other security forces, intelligence services, and belligerents
2. territorial security
3. public order and safety
4. protection of indigenous individuals, infrastructure, and institutions
5. protection of reconstruction and stabilization personnel and institutions
6. security coordination
7. public information and communications.

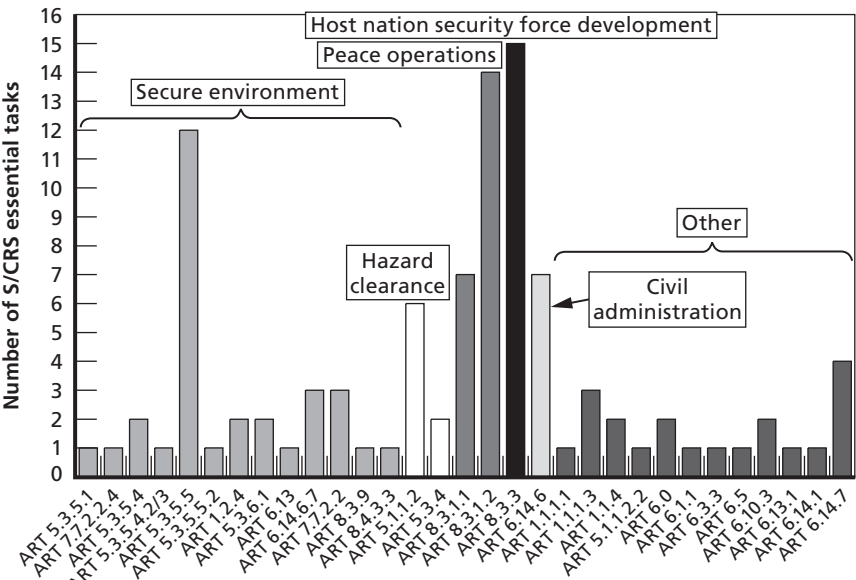
The first five of these sectoral tasks are the most doctrinally relevant to the U.S. Army, as they will be large ground force drivers in any SSTR operation and will involve tasks that are not part of current Army doctrine. They also can be defined as unit-level collective tasks. The sixth sectoral task, security coordination, is most appropriately handled at the Joint or interagency level and involves primarily procedural and coordination issues that are beyond the scope of the AUTL. We did not look closely at the final sectoral task, as it is included in all of the technical sectors and is a relatively straightforward public affairs mission.

Using the methodology discussed above, we identified 31 ARTs that can be associated with the bulk of the 139 ETM tasks in the security technical sector.¹⁵ (See Figure 3.3.) These 102 essential tasks (73 percent) fall into the following six broad categories:

- establishment of a secure environment
- hazard clearance

¹⁵ The ETM has 129 discrete essential tasks in the security technical sector. However, in a number of cases, an essential task consisted of multiple subtasks that were sufficiently different that we divided it into a number of separate tasks. These tasks are identified by a letter following the fourth digit.

Figure 3.3
The Distribution of ETM Essential Tasks by ART



RAND MG646-3.3

- peace operations
- host nation security force development
- civil administration (security related)
- other.

Of the 37 essential tasks that are not associated with an ART, 13 (9 percent) are related to disarmament, demobilization, and reintegration (DDR) operations for which there are no existing ARTs. We found the remaining 24 (17 percent) essential tasks difficult to categorize. We found it impossible to associate some of them with an existing ART. We found others inappropriate to be an ART or found them to be an inappropriate tactical-level task for the Army.

Two ARTs stand out because of the number of substantive essential tasks that they incorporate. These are ART 5.3.5.5 (Conduct Local Security Operations) with 12 (8.6 percent) essential tasks and ART 8.3.3 (Conduct Security Assistance) with 15 (10.8 percent) essential

tasks. Taken together, these two tasks focus on providing security to the host nation, either directly through the protection of at-risk populations and important infrastructure or indirectly through the training of indigenous personnel to do so, and encompass 20 percent of the ETM security technical sector. The broader tactical-level task, ART 5.3.5 (Conduct Security Operations), which contains ART 5.3.5.5, encompasses 18 (12.9 percent) ETM essential tasks and includes such substantive tasks as establishing border security, protecting nonmilitary personnel and resources involved in SSTR operations, and ensuring access to at-risk populations.

Four additional ARTs encompass an additional 34 (24.5 percent) essential tasks. These are ART 5.1.1.2 (Clear Obstacles) (six essential tasks), ART 6.14.6 (Establish Temporary Civil Administration (Friendly, Allied, and Occupied Enemy Territory)) (seven essential tasks), ART 8.3.1.1 (Conduct Peacekeeping Operations) (seven essential tasks), and ART 8.3.1.2 (Conduct Peace Enforcement Operations) (14 essential tasks). Although the Clear Obstacles task is relatively straightforward and includes essential tasks related to demining operations, the other three ARTs are problematic for a variety of reasons. The two peace operations ARTs are catchall categories that include a broad range of essential tasks that do not fit under any of the narrower ARTs but which can be doctrinally defined as being related to peace operations. The Establish Temporary Civil Administration task includes a variety of unrelated essential tasks, many of which are important but doctrinally trivial. These issues are discussed in greater detail below.

In the bulk of the rest of this chapter, we provide a detailed examination of the six broad ART categories identified above. Because of its importance and multifaceted nature, we divided further the Establish a Secure Environment category into five subcategories: border control, civil protection, protective services, refugee security, and law and order. For each of the categories and subcategories, first we present the details of our translation from ETM essential task to ART, then we assess how well existing doctrine covers the ETM essential task requirements, and finally we present recommendations for addressing any identified shortfalls.

In addition, we examine those ETM essential tasks for which we could not identify appropriate ARTs. These latter tasks fall into four broad categories: (1) DDR operations, (2) tasks that are not appropriate to be considered an ART, (3) tasks for which there are no existing ARTs, and (4) tasks that do not require ARTs.

Establishing a Secure Environment

Establishing a safe and secure environment is a key task in any SSTR operation. Emerging Army doctrine has labeled the task as the establishment of civil security and defines it as “safeguarding the populace from serious external and internal threats.”¹⁶ The ETM broadly defines security as “establishing a safe and secure environment.”¹⁷ According to emerging Joint doctrine, security “involves the establishment of a safe and secure environment for the local populace, host nation military and civilian organizations as well as USG and coalition agencies, which are conducting SSTR operations.”¹⁸

The establishing a secure environment category includes those ARTs and ETM essential tasks that focus primarily on providing a secure and safe environment. It has six subcategories: border control, civil protection, personnel security, refugee/internally displaced person (IDP) security, law and order, and hazard clearance. Taken together, these subcategories encompass 39 essential tasks (28 percent) spread across 15 ARTs (see Figure 3.4). These tasks are closely linked to the development of host nation security forces, for it is these forces that will ultimately be responsible for the security functions discussed here.

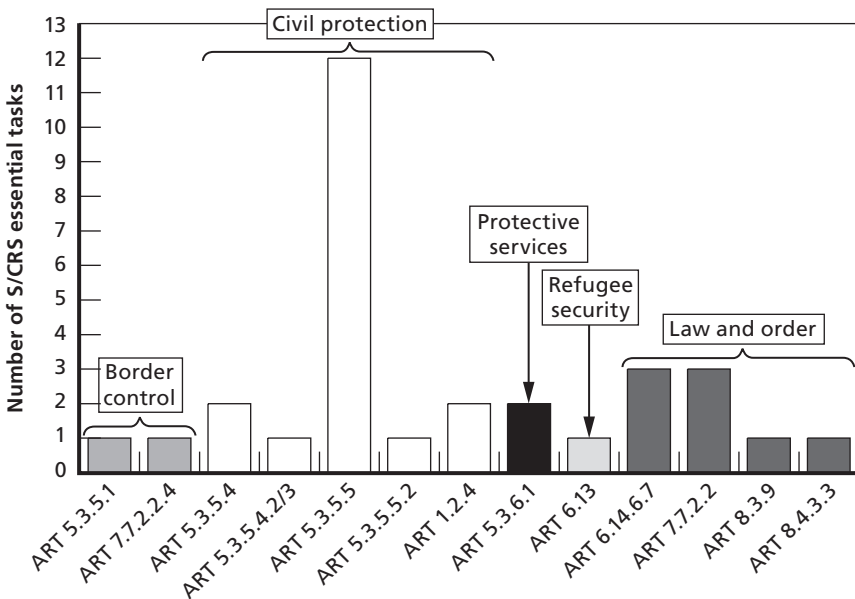
Recommendations. Civil security is an emerging concept in Army doctrine that remains to be fully defined. We understand that the new FM 3-07 will develop this concept and will also begin to address the full-spectrum operations involved in establishing civil

¹⁶ Derek Eaton and Thomas Szayna discussions with CADD staff, September 13, 2006.

¹⁷ U.S. Department of State (2005b), p. I-1.

¹⁸ U.S. Joint Forces Command (2006c), p. 2.

Figure 3.4
Distribution of ARTs: Establishing a Secure Environment



RAND MG646-3.4

security.¹⁹ Ensuring the full development of this concept will also require discussion of the issue in the future versions of FM 3-90 (*Tactics*), FM 3-23 (*Peace Operations*), and FM 7-15 (*The Army Universal Task List*).²⁰ Given the importance of this issue, the Army doctrinal community needs to consider the development of a civil security equivalent of FM 3-10 (*Protection*) or Appendix E (*Rear Area and Base Security*) of FM 3-90. This would help ensure the development of an integrated approach to civil security and enable a thorough discussion of the differences between providing protection for civilian society and the protection of military forces. In addition, the emerging Combat Support Brigade (Maneuver Enhancement) (CSB (ME)) would be an ideal organization to use as a laboratory for the development of such doctrine. As currently envisioned, this emerging organization is to be

¹⁹ Derek Eaton correspondence with CADD staff, October 2006.

²⁰ Derek Eaton correspondence with CADD staff, October 2006.

organized and trained to execute security missions, in particular freedom of maneuver and protection, and would be ideally suited for the task of providing civil security, as it can task-organize at the brigade level to include engineers, military police, explosive ordnance disposal (EOD), civil affairs, chemical, and tactical combat forces.²¹ As a result, a major component of future CSB (ME) doctrine should be the nuts and bolts of executing the civil security mission.

Border Control

Although the ETM has a single essential task related to the issue of border control, this mission has the potential to be a major force driver in potential future SSTR operations (see Table 3.1). Border control is a key task for the civil security mission because it both protects the host nation from foreign threats and can reduce the capacity of internal opposition groups. The importance of this task has been noted in the most recent draft of the *Military Support to Stabilization, Security, Transition, and Reconstruction Operations Joint Operating Concept*, which observes that

One of the key activities undertaken by coalition military forces will be to secure borders and ammunition stores to preclude exploitation by hostile forces. This activity should be undertaken at the outset by coalition military forces while host-nation domestic military forces are carefully trained to take over the protection of the borders and ammunition stores as soon as is effectively possible.²²

Army doctrine touches on border control briefly in FM 3-07.31 (*PEACE OPS: Multi-Service Tactics, Techniques, and Procedures for Conducting Peace Operations*) (2003), where it is identified as a key military task required to establish a secure environment.²³

²¹ U.S. Army Maneuver and Support Center (2005), pp. 2-3, 2-5 through 2-6, 3-1, 4-5 through 4-6.

²² U.S. Joint Forces Command (2006d), p. 33.

²³ Air Land Sea Application Center (2003), p. III-1.

Table 3.1

ETM Tasks Included in the ARTs Related to Boundary Control

ART 5.3.5.1 (Provide a Screen)

- 1.2.1.1A. (I) *Establish border security*, including customs regime to prevent arms smuggling, interdict contraband (i.e., drugs and natural resources), prevent trafficking of persons, regulate immigration and emigration, and establish control over major points of entry (IR)

ART 7.7.2.2.4 (Provide Customs Support)

- 1.2.1.1B. (I) *Establish border security*, including *customs regime* to prevent arms smuggling, interdict contraband (i.e., drugs and natural resources), prevent trafficking of persons, regulate immigration and emigration, and establish control over major points of entry (IR)
-

NOTES: (I) denotes that the task has infrastructure implications. The ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

We divided the border security essential task into two parts. The first part relates to the physical control and monitoring of the border and the second part focuses on enforcing the customs regime at the border. There is no AUTL task entirely appropriate for the first part of the ETM border security mission. The most relevant analogous ART is ART 5.3.5.1 (Provide a Screen). A screen is a tactical security operation that focuses on providing early warning to a protected force and relies on observation posts, patrols, and other reconnaissance assets to monitor a given boundary with the minimum amount of force. Its primary role is observation and it fights only in self-defense.²⁴ The screen mission, however, is combat-oriented and does not focus on the more delicate requirements of preventing the unauthorized flow of personnel and material across a border while enabling legitimate cross-border traffic in a complex SSTR operations environment. Providing customs support is a well-established military police mission and, although it is generally associated with enforcing customs regulations on U.S. military personnel and counterdrug operations, it is easily adaptable

²⁴ Headquarters, Department of the Army (2001), pp. 12-13–12-14. An alternative AUTL task might be ART 5.3.5.3 (Conduct Cover Operations) as such forces are intended to be self-contained and capable of operating independent of the force being protected. This force, however, is designed to have significant combat power, able to engage enemy forces. Headquarters, Department of the Army (2001), p. 12-26.

to enforcing customs regulations at the host nation border control points. Doctrine for these operations is covered by FM 3-19.1 and FM 3-19.10.

Although the importance of border control operation is recognized, it is not well supported by existing Army and Joint doctrine. Emerging Joint doctrine recognizes the importance of border control, the enforcement of sanctions and exclusion zones, as well as establishment of a safe and secure environment during peace-building operations by preventing external support to the conflict.²⁵ However, there is little discussion as to how to conduct border operations. The current version of JP 3-07.3 (*Joint Tactics, Techniques, and Procedures for Peace Operations*) (1999) has an extended discussion of the procedures for establishing and maintaining buffer zones.²⁶ However, we understand that this discussion will be removed from the revised version of JP 3-07.3 which will, instead, rely on the existing discussion of the matter in FM 3-07.31.

We note that although emerging Army doctrine recognizes the importance of border security, the concept remains undeveloped and a discussion of the needs and requirements for securing host nation borders is largely lacking from current U.S. Army doctrine. Existing Army doctrine FM 3-07 (2003) provides a good single paragraph definition of border control in its section on enforcing sanctions and exclusion zones. It states that

Restricting the flow of goods across international borders is accomplished by using OPs [observation posts], dismounted and vehicular patrols, and aerial surveillance integrated with checkpoints. Unauthorized or contraband supplies and equipment are confiscated or destroyed. Units must be prepared to stop individuals involved in illegal activity and turn them over to the civil authority.²⁷

²⁵ U.S. Joint Forces Command (2006b), pp. I-19, III-7, IV-3, and IV-4.

²⁶ U.S. Joint Forces Command (1999), pp. II-26 through II-33.

²⁷ Headquarters, Department of the Army (2003), p. 4-9.

However, with the exception of enforcing sanctions and exclusion zones, the current version of FM 3-07 (2003) largely ignores border control operations. The February 2006 version of FMI 3-91 (*Division Operations*) gives border control as an important objective in its chapter on SSTR operations and posits it as a cover operation with significant support from divisional intelligence, surveillance, and reconnaissance (ISR) assets.²⁸ While border control operations are recognized as being important, they receive only a passing reference in FM 3-24 (*Counterinsurgency*). Older doctrinal publications, such as FM 90-8 (*Counter-guerilla Operations*) (1986) and FM 7-98 (*Operations in a Low-Intensity Conflict*) (1992), have a more extensive, but still limited, discussion of this type of operation.²⁹ Although it discusses the analogous task of separating two hostile forces, FM 3-07.31 lacks an integrated discussion of what is required to control and monitor international borders.³⁰ Border control is mentioned briefly in FMI 3-07.22 but not elaborated on at any length.³¹ Finally, military police doctrine discusses border operations in the context of counterdrug operations.³²

Recommendations. Assuming that border control will be an enduring feature of future SSTR operations, it is important that existing knowledge and lessons learned be formalized and mainstreamed so that future general purpose forces can prepare for border security operations. Such knowledge currently can be found in ABCA procedures and lessons learned from counterdrug operations, Army National Guard (ANG) deployments to the U.S.-Mexico border, Operational Enduring Freedom (OEF), Operation Iraqi Freedom (OIF), and Army operations in the Balkans. As a first step, boundary control should be

²⁸ Headquarters, Department of the Army (2006a), pp. 7-3, 7-8, 7-11, and 7-15.

²⁹ The most complete discussion of border control operations was in Headquarters, Department of the Army (1968).

³⁰ FM 3-07.31 was intended to have a paragraph on controlling land borders in Appendix F. In the version available online, however, as of September 27, 2006, this paragraph discusses controlling rural areas, not land borders. Air Land Sea Application Center (2003), pp. III-4–III-6 and F-6–F-7.

³¹ See Headquarters, Department of the Army (2004b), pp. 2-2, 2-3, and 4-14.

³² Headquarters, Department of the Army (2002a), p. 11-7.

formalized as a key mission by inclusion in the revised version of FM 3-07. This will ensure that boundary control is recognized as a key stability operation mission and help spur the development of the necessary supporting doctrine and TTPs. The AUTL also needs to recognize border control as a separate tactical-level collective task and develop the required supporting measure of performance. Ideally, this new ART would be subordinate to the emerging hierarchy of civil security tasks. Doctrinal support for the development of this ART already exists in the current versions of FM 3-07 and FM 3-07.22, which recognize border control as an important stability operation and peace operation task. Its placement under the emerging ART 7.3.1 (Establish Civil Security) is appropriate because of the definition of civil security as safeguarding civilian populations from serious external and internal threats.³³

Finally, the doctrinal community needs to evaluate whether continued reliance on ad hoc modifications to existing screen and cover operations is adequate or if formal doctrine and TTPs for integrated border control operations are required. Older field manuals (FM 7-98 and FM 90-8) discuss border control in the context of counterinsurgency operations, but it may be necessary to update and expand on these brief descriptions.

Civil Protection

Providing protection to personnel and infrastructure is an important ETM technical area that involves 18 essential tasks (12.9 percent) and six Army Tactical Tasks. Roughly 22 percent of the ETM security technical area essential tasks that are categorized as immediate response (IR), and thus most likely the U.S. Army will be required to perform, fall partly or wholly within this mission area. Within this broader category, there are five subordinate ARTs: ART 5.3.5.4 (Conduct Area Security Operations), ART 5.3.4.3 (Conduct Route Security Operations), ART 5.3.5.4.2 (Conduct Convoy Security Operations), ART 5.3.5.5 (Conduct Local Security Operations), and ART 5.3.5.5.1 (Establish Checkpoints) (see Table 3.2). The tasks here can be broken

³³ Information about the reorganization of the AUTL is derived from Derek Eaton and Thomas Szayna discussions with CADD staff, September 13, 2006.

Table 3.2
ETM Tasks Included in the ARTs Related to Civil Protection

ART 5.3.5.4 (Conduct Area Security Operations)

- 1.5.1.1. (I) Protect government-sponsored civilian stabilization and reconstruction personnel (IR)
- 1.5.2.1. Protect contractor and NGO stabilization personnel and resources (IR)
- 3.1.2.14. Ensure adequate protection and monitoring [for refugees] in the countries of origin and asylum (IR)*
- 3.3.2.5. Secure emergency food aid distribution channels (IR)*
- 3.4.1.2. (I) Secure emergency non food relief distribution channels (IR)*
- 3.4.1.4. Protect non food distribution network (IR)*

ART 5.3.5.4.2 (Conduct Route Security Operations)/ART 5.3.5.4.3 (Conduct Convoy Security Operations)

- 1.3.1.2. Ensure humanitarian aid and security force access to endangered populations and refugee camps (IR)
- 3.1.4.2. Ensure humanitarian aid and security force access to endangered populations and refugee camps (IR)*

ART 5.3.5.5 (Conduct Local Security Operations)

- 1.1.2.1. Provide security for negotiations among indigenous belligerents (IR)
- 1.1.5.2C. Ensure adequate health, food provisions, and *security* for belligerents (IR)
- 1.1.5.5. Ensure safety of quartered personnel and families (T)
- 1.3.1.1. Protect vulnerable elements of population (refugees, IDP, women, children) (IR)
- 1.3.1.4. Provide interim security programs for at-risk populations (T)
- 1.4.1.2. (I) Protect and secure places of religious worship and cultural sites (IR)
- 1.4.1.3. (I) Protect private property and factories (IR)
- 1.4.2.1. (I) Protect and secure critical infrastructure, natural resources, civil registries, property ownership documents (IR)
- 1.4.2.2. (I) Secure records, storage, equipment, and funds related to criminal justice and security institutions (IR)
- 1.4.3.1C. (I) Identify, *secure, and protect stockpiles of conventional*, nuclear, biological, radiological and chemical materials (IR)
- 1.4.3.2. (I) Secure military depots, equipment, ammunition dumps and means of communication (IR)
- 1.4.4.1. (I) Protect and secure strategically important institutions (e.g., government buildings, museums, religious sites, courthouses, communications, etc.) (IR)
- 3.1.4.4. Provide interim security measures for at-risk populations (T)*

Table 3.2—continued

ART 5.3.5.5.2 (Establish Checkpoints)	
1.2.2.3B.	(I) Dismantle roadblocks and <i>establish checkpoints</i> (IR)
ART 1.2.4 (Support Sensitive Site Exploitation)	
1.4.5.1C.	Locate and <i>safeguard</i> key witnesses, <i>documents and other evidence related</i> to key ongoing or potential U.S. investigations and prosecutions (IR)
1.4.3.1D.	(I) Identify, <i>secure and protect stockpiles</i> of conventional, <i>nuclear, biological, radiological, and chemical materials</i> (IR)
NOTES: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).	
* These ARTs are from a different technical sector. We include these essential tasks because they are security related, have the potential to be important mission drivers, and are similar to essential tasks in the security technical sector.	

down roughly into three broad categories: the protection of critical host nation infrastructure (both civil and military), the protection of personnel, and ensuring access to at-risk populations and refugee/IDP camps. This mission is broadly similar to rear area security operations, but rather than focusing on protecting military facilities, personnel, and lines of communications from sabotage and irregular threats, it involves extending similar protection to host nation infrastructure and populations.

The choice of ARTs for the above tasks was relatively straightforward. If the task involved the protection of an installation or a group of personnel likely to be concentrated in a small area, then we considered it to be a local security mission. We defined the protection of personnel involved in SSTR operations as an area security operation because these personnel require a larger area to be secured if they are to accomplish their mission. If it involved protecting access, we considered it a route/convoy security operation. As either convoy security or route security could accomplish this mission, and the choice would largely depend on the tactical situation and the forces available, we selected both ARTs for this essential task. We chose the sensitive site exploitation ART for those facilities containing weapons of mass destruction (WMD) or materials relevant to ongoing U.S. criminal investigations.

None of these mission areas are new. FM 3-07.31 has a brief discussion on providing site security to several categories of installations (religious sites, war crime sites, governmental buildings, elections sites, and culturally or historically significant sites).³⁴ The current version of FM 3-07 (*Stability and Support Operations*) (February 2003) recognizes that the protection of critical infrastructure is an integral function of stabilizing an area and can be a decisive operation.³⁵ Emerging Army doctrine also recognizes the importance of protecting critical civilian infrastructure and will be included in the new FM 3-07. The current version of FM 3-07 (February 2003) recognizes the protection of personnel engaged in humanitarian assistance as a military task.³⁶

What is missing, however, is an integrated discussion of the requirements for executing the civil protection mission. Under the Army concept of full-spectrum operations, the provision of civil protection will require the synchronization of offensive, defensive, and stability operations. The June 2006 initial draft of the FM 3-0 considers the protection of civilians and critical civilian infrastructure as a defensive operation.³⁷ CADD staff emphasized this point to the authors, suggesting that the future FM 3-90 (*Tactics*) will be the field manual discussing civilian and critical infrastructure protection.³⁸ CADD staff also emphasized that the doctrine on protection—the doctrinal area most directly applicable to the civil protection mission—was applicable only to military forces. The need to protect critical infrastructure is alluded to in emerging counterinsurgency (COIN) doctrine but never fully articulated. Since June 2006, however, there appears to have been

³⁴ Air Land Sea Application Center (2003), p. III-3.

³⁵ FM 3-07 notes that “stabilizing an area can be decisive in both stability operations and support operations. To protect people and necessary infrastructure, it is often critical to establish order. In this situation, operations such as police support, static area security, and security patrols may be decisive because they deter criminal activity and reassure the population that they will be protected from lawlessness or violence. In addition, providing for basic human needs such as food, water, shelter, and medical care may also be decisive” (Headquarters, Department of the Army, 2003, p. 1-14).

³⁶ Headquarters, Department of the Army (2003), p. 4-10.

³⁷ Headquarters, Department of the Army (2006b), pp. 4-4 and 4-7.

³⁸ Derek Eaton and Thomas Szayna discussions with CADD staff, May 2006.

a shift in thinking about this issue. The November 2006 DRAG version of FM 3-0 no longer explicitly defines the protection of civilians and civil infrastructure as a consideration for defensive operations. Defensive operations do, however, continue to include the protection of civilian assets and infrastructure that are important to the success of the campaign or operation. Such efforts are noted as being particularly important during COIN campaigns.³⁹ Also, it now appears that FM 3-07 will discuss the integrated protection of critical civilian infrastructure.⁴⁰ JP 3-0 also embraces the concept that during a campaign or major operation, offensive, defensive, and stability operations need to be balanced and conducted simultaneously. However, unlike FM 3-0, JP 3-0 does appear to clearly identify the protection of key civilian infrastructure as a stability, rather than a defensive, operations task.⁴¹

The safeguarding of WMD sites is best covered by ART 1.2.4 (Support Sensitive Site Exploitation), for it includes among its measures of effectiveness the time required to secure a sensitive site. Doctrinally, the mission of safeguarding WMD sites is supported by FM 3-90.15 (*TTP for Tactical Operations Involving Sensitive Sites: Final Draft*) (March 2005). The primary focus of this TTP is the seizure of sensitive sites incidental to offensive and defensive operations during combat operations. As a result, it is a partial fit for the securing of such sites during SSTR operations.⁴²

Recommendations. It remains essential that FM 3-07 provide an integrative discussion of how offensive, defensive, and stability operations will be combined to provide full spectrum civil protection.⁴³ This will provide a guide for the development of the necessary supporting doctrine, help planners understand the complexity of the mission, and

³⁹ Headquarters, Department of the Army (2006d), pp. 3-7, 3-9.

⁴⁰ Derek Eaton and Thomas Szayna discussions with CADD staff, September 2006.

⁴¹ U.S. Joint Forces Command (2006d), pp. V-2, V-24.

⁴² Headquarters, Department of the Army (2005a), pp. I-ii.

⁴³ CADD staff recognize this as well as the necessity of ensuring that the civil security mission are discussed in other relevant FMs such as FM 3-90 and the future FM on Peace Operations (currently numbered as FM 3-23). Derek Eaton correspondence with CADD staff, October 3, 2006.

ensure that this necessary discussion does not get overlooked because the mission straddles several doctrinal dividing lines. In addition, supporting doctrine and TTPs will need to be developed to support these higher-level doctrinal discussions. This will allow for a thorough doctrinal examination of the civil protection mission and ensure that personnel training for a stability operation are properly prepared to execute this task. The same basic principles that apply to base cluster and lines of communications security operations and that are articulated in JP 3-10 (*Joint Security Operations in Theater*) (August 2006) are probably relevant to the task of providing civil protection. These principles would provide a good starting point for emerging civil protection doctrine. They could be adapted into either a separate FM on civil protection or, at a minimum, into an appendix for the relevant higher-level field manuals (FM 3-90, FM 3-23, and FM 3-07).

In addition the AUTL will need to be expanded to cover the full range of civil protection tasks, including the development of a hierarchy of ARTs that specifically address the protection of critical civilian infrastructure, civilian populations, and nonmilitary SSTR operations personnel. This will help ensure that deploying units are prepared to conduct these tasks and help mainstream the skill sets required for them throughout the general purpose forces. As noted above, CADD has begun to explore an AUTL hierarchy that includes emerging stability operations tasks. Given the nature of these tasks and their close relationship with civil security mission, the emerging CSB (ME) doctrine might be a useful place to develop the requirements for civil protection.

Personal Security

The ETM identifies the protection of key political and societal leaders as well as the safeguarding of key witnesses related to ongoing U.S. investigations as important SSTR operations tasks (see Table 3.3). Under certain conditions, ETM tasks 1.5.1.1 and 1.5.2.1, which involve the protection of civilian personnel (U.S. government employees, NGO staff, or contractors) who are involved in SSTR operations, might also be included in this category. The most appropriate ART for this is ART 5.3.6.1 (Provide Protective Services for Selected Individuals), which is

Table 3.3
ETM Tasks Included in the ARTs Related to Personal Security

ART 5.3.6.1 (Provide Protective Services for Selected Individuals)	
1.4.1.1.	Protect key political and societal leaders (IR)
1.4.5.1B.	Locate and <i>safeguard key witnesses</i> , documents, and other evidence related to key ongoing or potential U.S. investigations and prosecutions (IR)

NOTES: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

based on the protecting “designated high-risk individuals from assassination, kidnapping, injury, or embarrassment.”⁴⁴ In regards to U.S. personnel, this task is well established doctrinally and supported by FM 3-19.12 (*Protective Services*) (August 2004). There is little doctrinal discussion, however, of the provision of protective services to host nation leaders, although it is not precluded by current doctrine.⁴⁵

Recommendations. The key need on this point is expanding doctrine to include host nation personnel and validating that the requirements for the protection of such personnel are consistent with FM 3-19.12. It is also important that higher-level FMs refer to the need to protect host nation personnel and provide guidelines for who should be protected and under what conditions. Finally, there may be a need to mainstream this specialized task if large numbers of such personnel require protection by the U.S. military. An important step toward accomplishing this would be to define the task as part of the establish-civil-security-operation type and including it, where appropriate, within the AUTL.

Refugee Security

The requirement to provide security within refugee and IDP camps is well established in existing military doctrine (see Table 3.4). The primary doctrinal sources are FM 3-19.40 (*Military Police Internment/*

⁴⁴ Headquarters, Department of the Army (2006d), p. 5-74.

⁴⁵ There is a single brief mention in FMI 3-07.31 about the military supporting host nation and international police by protecting government institutions and key officials. Air Land Sea Application Center (2003), p. VI-12.

Table 3.4
ETM Tasks Included in the ARTs Related to Refugee/IDP Security

ART 6.13 (Conduct Internment and Resettlement Activities)

1.3.1.3A. *Establish and maintain order in refugee camps and population centers (T)*

3.1.4.1. Ensure adequate protection and monitoring [of refugee and IDP camps] (IR)*

3.1.4.3. Establish and maintain order in refugee camps (T)*

NOTES: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

*THESE ARTs are from a different technical sector. We include these essential tasks because they are security related, have the potential to be important mission drivers, and are similar to essential tasks in the security technical sector.

Resettlement Operations) (August 2001) and 3-19.1 (*Military Police Operations*) (January 2002).

Recommendations. These tasks are well understood and do not need any substantive doctrinal development. Existing doctrine, however, should be vetted to ensure that the differences between guarding detention facilities and providing security to refugees and IDP camps are well articulated.

Law and Order

The establishment of law and order is a critical task in any SSTR operations, a fact that is recognized both by the ETM and current Army doctrine. Eight ETM essential tasks (5.8 percent) are directly related to this issue (see Table 3.5).⁴⁶ Two of these tasks, establish and maintain order in population centers (1.3.1.3B) and perform civilian police functions including investigating crimes and making arrests (1.3.2.1), have the potential to be large ground force drivers in any future SSTR operation. It is thus of particular importance that the Army, and in particular the Military Police (MP) community, is doctrinally prepared to conduct this mission. It should also be noted that several of these tasks are relevant to domestic civil support operations. As result, better preparation for SSTR operations will also improve the U.S. Army's

⁴⁶ Two other tasks related to law and order are in the justice technical sector.

Table 3.5
ETM Tasks Included in the ARTs Related to Law and Order

ART 6.14.6.7 (Provide Public Safety Support)	
1.3.2.4.	Mentor indigenous police forces (T)
1.3.2.5.	Transfer public security [policing] responsibilities to indigenous police force (FS)
1.3.3.4.	Transfer public security [crowd and disturbance control] responsibilities to indigenous police force (FS)
6.2.1.1.	Vet and reconfigure existing police forces (IR)*
6.2.1.3.	Deploy police monitors/mentors/trainers (IR)*
ART 7.7.2.2 (Provide Law and Order)	
1.3.1.3B.	Establish and maintain order in refugee camps and <i>population centers</i> (T)
1.3.2.1.	Perform civilian police functions including investigating crimes and making arrests (IR)
1.3.3.2.	Conduct special police operations requiring formed units, including investigations and arrests (IR)
ART 8.3.9 (Conduct Arms Control Operations)	
1.1.4.8.	Collaborate with neighboring countries on weapons flows, including apprehension of illegal arms dealers (T)
ART 8.4.3.3 (Conduct Civil Disturbance Operations)	
1.3.3.1.	Control crowds, prevent looting, and manage civil disturbances (IR)

NOTES: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

* These ARTs are from a different technical sector. We include these essential tasks because they are security-related, have the potential to be important mission drivers, and are similar to essential tasks in the security technical sector.

ability to respond to domestic emergencies similar to what occurred in the wake of Hurricane Katrina.

FM 3-07 notes that “when the indigenous security and police forces are nonexistent or incapable and international police training programs cannot generate sufficient resources quickly enough, the military may be required to assist.” It also emphasizes that the military commander should consider requesting civilian police forces from other members of the coalition to take the lead in providing law and order to preserve Military Police for other “high priority missions.”⁴⁷

⁴⁷ Headquarters, Department of the Army (2003), p. 4-26.

Law and Order Operations are a traditional military police function. Current doctrine does not specify that the Law and Order function applies to the provision of civil law and order, but it leaves open that possibility by stating

The MP, in close coordination with the CID [Army Criminal Investigations Division], work to suppress the chance for criminal behavior throughout the AO. By coordinating and maintaining liaison with other DOD, HN, joint, and multinational agencies, the MP at all levels coordinate actions to remove conditions that may promote crime or that have the potential to affect the combat force.⁴⁸

The kind of operations that MPs might conduct regarding this function include responding to civil disturbances, conducting raids, investigating traffic accidents, conducting vehicle searches, supporting the commander's force protection program, and providing support to host nation and civil-enforcement agencies.⁴⁹ Emerging U.S. Army doctrine, however, narrows this focus by describing law and order as an operation that focuses on suppressing criminal behavior directed against U.S. forces.⁵⁰ The primary MP FM on Law and Order operations, FM 19-10 (1987) focuses almost exclusively on Law and Order operations on U.S. military facilities during peacetime and notes that "in a theater of operations MP conduct law and order operations only when the combat commander requires it and when battle intensity permits" and that is generally a secondary priority.⁵¹

U.S. Army doctrine relating to crowd control and managing civil disturbances is well developed and discussed in Military Police and Peace Operations doctrine. The primary doctrinal source is FM 3-19.15 (*Civil Disturbance Operations*) (2005), which discusses crowd control in detail.

⁴⁸ Headquarters, Department of the Army (2002a), pp. 4-10 through 4-11.

⁴⁹ Headquarters, Department of the Army (2002a), p. 4-11.

⁵⁰ U.S. Army Military Police School (2006), p. 4-13.

⁵¹ Headquarters, Department of the Army (1987), p. 5.

Recommendations. Emerging MP doctrine recognizes that MPs may be required to conduct the critical task of providing law enforcement to civilian populations during stability operations, but it does not develop this requirement.⁵² This development is likely to be reinforced in the new FM 3-07, which will expand on the concept of civil security. The U.S. Army doctrinal community thus needs to adapt and expand existing Law and Order doctrine to fit SSTR operations and environments. There are important differences between providing law and order to large, and potentially hostile, civilian populations and doing the same within the confines of a U.S. military facility. These differences need to be articulated and understood if U.S. personnel are to be adequately prepared to serve as substitutes for civilian police. This will mean adapting existing procedures and TTPs for the civil law and order mission. The CSB (ME) could provide a useful laboratory for the development of the civil law and order mission in SSTR operations and its doctrine could cover this mission in some detail. To help solidify these developments, either the existing ART for the provision of law and order needs to be expanded to cover civil law and order operations during SSTR operations or appropriate new ARTs should be developed. This will help “mainstream” these tasks and ensure that units conducting stability operations are adequately trained to provide civil law and order. In either case, appropriate measures of effectiveness will also need to be developed. As this task is an essential part of civil security mission, this new requirement should also be reflected in the emerging AUTL hierarchy for establishing civil security.

The “mainstreaming” of crowd control and civil disturbance procedures has begun and they are discussed in FMI 3-90.6 (*Heavy Brigade Combat Operations*) (pp. 8-14 through 8-15). However, FMI 3-90.6 does not reference FM 3-19.15 and this should be done in future editions of this FM. In addition, to help ensure that this important skill set is “mainstreamed” throughout the Army, the importance of this task needs to be highlighted in the forthcoming edition of FM 3-07 and a reference made to FM 3-19.15. This will ensure that units preparing for stability operations will train for this task and that they

⁵² U.S. Army Combined Arms Center (2006b).

will know where to look to find the required procedures. Furthermore, ART 8.4.3.3.2 (Conduct Civil Disturbance Operations) is currently a civil support operation and needs to be broadened to cover overseas operations. This will reinforce the understanding that the task is an important stability operation skill and allow for an articulation of the differences between conducting such operations in a domestic and overseas context.

Hazard Clearance

The ETM includes in its security technical sector several emergency hazard clearance tasks that would not normally be considered security operations by the U.S. Army.⁵³ Six ETM essential tasks speak directly to this issue and are divided between two ARTs that focus on the removal of mines and the disposal of unexploded ordnance (see Table 3.6).⁵⁴ These basic tasks are well understood and regularly conducted by Army personnel during combat operations. Doctrinal support for the basic missions of clearance and unexploded explosive ordnance (UXO) disposal is well developed and can be found in FM 20-32 (*Minel Countermining Operations*) (October 2002), FM 3-34.2 (*Combined-Arms Breaching Operations*) (October 2002), and FM 4-30.5 (*Explosive Ordnance Disposal Operations*) (January 2005).

The ETM appears to use the term “demining” differently than it is commonly understood in Army doctrine. The Army defines demining as “the complete removal of all mines and UXO to safeguard the civilian population within a geopolitical boundary after hostilities cease” and notes that this manpower- and time-intensive task is not a formal Army mission or function.⁵⁵ In Army doctrine, demining

⁵³ These operations are broadly characterized as mobility support operations and are intended to “maintain freedom of movement for personnel and equipment within an AO without delays due to terrain or barriers, obstacles, and mines.” Headquarters, Department of the Army (2006d), p. 5-2.

⁵⁴ Clearing operations are not conducted under fire and are intended to remove obstacles that are a hazard or that hinder friendly movement or occupation of an area. Headquarters, Department of the Army (2006d), p. 5-4.

⁵⁵ Headquarters, Department of the Army (2002b), p. 9-7.

Table 3.6
ETM Tasks Included in the ARTs Related to Hazard Clearance

ART 5.1.1.2 (Clear Obstacles)

- 1.3.4.1A. Conduct emergency *de-mining* and UXO removal (IR)
- 1.3.4.2. Conduct mapping and survey exercises of mined areas (IR)
- 1.3.4.3. Mark mine fields (IR)
- 1.3.4.4. Identify and coordinate emergency [demining and UXO removal] requirements (IR)
- 1.3.4.5. Establish priorities and conduct de-mining operations (IR)
- 1.3.4.6A. Initiate large-scale *de-mining* and UXO removal operations (T)

ART 5.3.4 (Provide Explosive Ordnance Disposal Support)

- 1.3.4.1B. Conduct emergency de-mining and *UXO removal* (IR)
 - 1.3.4.6B. Initiate large-scale de-mining and *UXO removal operations* (T)
-

NOTES: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

is synonymous with the humanitarian demining mission, a task that falls within the humanitarian assistance and social well-being technical sector of the ETM.⁵⁶ This is a task for which the Army no longer has any formal doctrine, as TC 31-34 (*Humanitarian Demining Operations Handbook*) (September 1997), which covered such operations and which is referred to in FM 20-32 as the source for TTPs on such operations, has been declared obsolete and does not appear to have a replacement.⁵⁷ What the ETM appears to be referring to is the removal of mines and UXO that are an immediate threat to civilians. Such operations are more akin to Army area clearance and route clearance operations, which are more narrowly focused on the clearance or neutralization of an obstacle or a portion of an obstacle that is a hazard or hinders movement.⁵⁸ As a result, the Army doctrinal community needs to engage S/CRS in clarifying this ETM sectoral subtask.

⁵⁶ Humanitarian demining is sectoral task 3.5. It consists of four sectoral subtasks (mine awareness, mine detection, mine clearance, and survivor assistance) and 15 essential tasks.

⁵⁷ Headquarters, Department of the Army (1997).

⁵⁸ Headquarters, Department of the Army (2002b), pp. 9-1, 9-7.

Although Army doctrine fully supports the mission of mine and UXO removal in support of U.S. forces and discusses the humanitarian demining mission, it is less clear on extending this mission to cover host nation civilian safety requirements. FM 3-07 (2003) makes reference to reducing the threat of mines and UXO to soldiers and civilians along lines of communications to ensure that civilian traffic and commerce can continue. It also identifies “clearing mines and debris from roads” and “clearing mines, unexploded ordnance, and booby traps from building, vehicles, and other locations” as potential combat engineer missions during peace operations.⁵⁹ FM 3-07.31 does not discuss the issue and simply refers the reader to FM 3-100.38 (*UXO Multi-Service Tactics, Techniques, and Procedures for Unexploded Ordnance Operations*), a manual that focuses primarily on organizational issues and the identifying and marking of UXO hazards.⁶⁰ Finally, the current keystone engineering doctrine also does not fully support this ETM task. FM 3-34 (*Engineering Operations*) notes that, during peace operations, engineers may participate in land mine detection and removal operations but emphasizes that the removal of mines during such operations is based on tactical necessity.⁶¹

Recommendations. The Army clearly knows how remove mines and UXO, but what needs to be doctrinally clarified is how Army forces will conduct such tasks during SSTR operations and in support of civilian populations. In addition, existing doctrine and TTPs need to be reviewed to ensure their applicability to removal operations in noncombat environments where civilians are likely to be present and, if necessary, SSTR operation-specific procedures should be developed. This will ensure that any significant procedural differences are identified and doctrinally addressed. The emerging FM 3-07 also needs to retain and expand on the clearance tasks currently within stability operations doctrine. Doing so will bring emerging Army doctrine in line with the ETM’s requirements and highlight the necessity of this task for planners. This mission also has to be articulated clearly in the

⁵⁹ Headquarters, Department of the Army (2003), pp. 2-2, 2-7 through 2-8.

⁶⁰ Air Land Sea Application Center (2005).

⁶¹ Headquarters, Department of the Army (2004a), p. 8-11.

next edition of FM 3-34 as well as in other relevant engineering field manuals. This will help ensure that these requirements are adequately planned for in future operations and that personnel are assigned and trained to conduct this task. In addition, the existing ART for the provision of EOD disposal support needs to be expanded, to clearly include support to host nation governments or civilians, or a new one created to cover this mission; a similar ART should be devised for the mine removal tasks. Doing so will help ensure that units deployed for SSTR operations are adequately trained to conduct these tasks and that the proper procedures for such training are developed. These new ARTs need to be nested in the appropriate place in the emerging AUTL section on stability operations. Such inclusion follows from the recognition of these tasks as being important for SSTR operations and will reinforce this understanding.

Finally, the ETM categorizes the emergency removal of mines and UXO as an initial response task. As such, the responsibility for conducting this task will often fall to the U.S. military and, in particular, to the U.S. Army. However, under Section 401 of Title 10 of the U.S. Code, U.S. military personnel involved in humanitarian and civic assistance missions are restricted in their ability to engage in the physical detection, lifting, or destruction of land mines unless these activities are conducted for the concurrent purpose of supporting a U.S. military operation or such service is part of an operation that does not involve the armed forces. As a result, the statutory ability of the U.S. military to support civilians by removing mines and UXO during SSTR operations has to be clarified.

Peace Operations

Twenty-one (15.1 percent) of the examined ETM essential tasks can be categorized broadly under the rubric of peace operations (see Table 3.7). Nineteen of these tasks are a part of the sectoral task *Disposition of Armed and Other Security Forces, Intelligence Services, and Belligerents* (sectoral task 1.1) and involve essential tasks related to the cessation of hostilities (sectoral subtask 1.1.1), the enforcement of peace agreements (sectoral subtask 1.1.2), disarmament (sectoral subtask

Table 3.7
ETM Tasks Included in the ARTs Related to Peace Operations

ART 8.3.1.1 (Conduct Peacekeeping Operations)	
1.1.1.2.	Supervise disengagement of belligerent forces (IR)
1.1.1.7.	Monitor exchange of POWs (T)
1.1.1.8.	Transfer monitor requirements to indigenous security institutions (FS)
1.1.2.2.	Develop confidence-building measures between indigenous belligerents (IR)
1.1.2.4.	Investigate alleged breaches of agreements
1.1.2.6.	Support confidence-building measures amongst belligerents (T)
1.1.2.8.	Support and sustain confidence-building measures (FS)
ART 8.3.1.2 (Conduct Peace Enforcement Operations)	
1.1.1.1.	Enforce cease fires (IR)
1.1.1.3B.	Identify and neutralize potential spoilers (IR)
1.1.1.6.	Establish and control buffers, including demilitarized zones (T)
1.1.2.5.	Support and enforce political, military, and economic terms arrangements (T)
1.1.2.7.	Transfer enforcement requirements to indigenous authorities (FS)
1.1.4.2.	Establish and enforce weapons control regimes, including collection and destruction (IR)
1.1.4.4.	Provide reassurances and incentives for disarmed faction (IR)
1.1.4.5.	Establish monitoring regime (IR)
1.1.4.6.	Disarm belligerents (T)
1.1.4.7.	Reduce availability of unauthorized weapons (T)
1.1.4.10.	(I) Secure, store, and dispose of weapons (FS)
1.1.5.4.	Monitor and verify demobilization (T)
1.2.2.5.	Ensure freedom of movement (IR)
1.2.2.7.	Provide full freedom of movement (FS)

NOTES: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

1.1.4), and demobilization (sectoral subtask 1.1.5). The remaining two essential tasks relate to ensuring freedom of movement and are part of the sectoral task *Territorial Security* (sectoral task 1.2). Since the current AUTL does not have any subordinate tasks associated with either peacekeeping (PK) or peace enforcement (PE) operations, we relied on

the doctrinal publications relating to peace operations (FM 3-07 and FM 3-07.31) to assign the ETM essential tasks to these two ARTs.

The ETM and FM 3-07 and FM 3-07.31 are largely congruent on the broader mission areas required for SSTR operations. FM 3-07.31, for instance, lists the following military tasks for creating a secure environment during peace operations:

1. Physically occupy key terrain to establish control over urban and rural areas.
2. Separate belligerent forces.
3. Disarm, demobilize, and reintegrate.
4. Control weapons.
5. Control borders.
 - a. Regulate movement of persons or goods across borders.
6. Secure key sites.
7. Establish control measures that are visible and known to the local populations.
8. Ensure freedom of movement.
9. Establish secure bases.
10. Establish protected areas.
11. Ensure public security.⁶²

However, the supporting doctrine and TTPs necessary for executing the many of the missions articulated in higher-level peace operations doctrine are lacking. For example, there is no doctrinal clarification as to what is required to establish and maintain a protected area. This lack is reflected in FM 7-15, which has no subordinate ARTs or developed measures of effectiveness for the three basic peace operation types and which appears to be primarily focused on the tactical tasks required for major combat operations.⁶³

⁶² Headquarters, Department of the Army (2003), p. III-1.

⁶³ ART 8.3.1 (Conduct Peace Operations) currently has three subordinate ARTs: ART 8.3.1.1 (Conduct Peacekeeping Operations), ART 8.3.1.2 (Conduct Peace Enforcement Operations), and ART 8.3.1.3 (Conduct Operations in Support of Diplomatic Efforts).

There are two particularly important gaps in Army doctrine relating to the ETM essential tasks identified in Table 3.7. These gaps relate to the disarmament mission (sectoral subtask 1.1.4) and the freedom of movement mission. A third important mission area relating to the monitoring of cease-fires and the separation of forces is well covered by FM 3-07.31.⁶⁴

Six of the tasks enumerated here (28.5 percent of the total) relate to disarmament operations and they are included here because FM 3-07 (2003) discusses disarmament as a subordinate peace enforcement operation.⁶⁵ Disarmament is an integral part of the DDR process, an operation type for which the U.S. Army currently has no developed doctrine. We discuss this shortfall in greater detail later in this chapter.

Two of the tasks listed in Table 3.7 relate to ensuring freedom of movement operations. This is not a well-defined task, although FM 3-07 notes that

PE forces guarantee transit rights of noncombatants, NGOs, or other designated groups through their controlling presence and deterrence. PE forces may have to physically occupy certain terrain and structures, such as road intersections and bridges, to protect unobstructed freedom of movement.⁶⁶

It also notes that freedom of movement is the essential part of any peace process and an important indicator of consent by indigenous forces to the presence of foreign peacekeepers.⁶⁷ But the supporting doctrine and TTPs to operationalize this crucial task is currently lacking.

Recommendations. As currently conceived, the ARTs for Peacekeeping Operations (ART 8.3.1.1) and Peace Enforcement Operations (ART 8.3.1.2) are “catchall” ARTs that lack any subordinate tasks or

⁶⁴ These missions are most closely related with sectoral subtask 1.1.1.

⁶⁵ Headquarters, Department of the Army (2003), p. 4-8.

⁶⁶ Headquarters, Department of the Army (2003), pp. 4-9 through 4-10.

⁶⁷ Headquarters, Department of the Army (2003), pp. 4-9 through 4-10, and 4-17.

measures of performance.⁶⁸ As a result, to reflect adequately the status of SSTTR operations as coequal with major combat operations, CADD needs to continue its current process of reevaluating and refining FM 7-15's taxonomy and begin to develop ARTs for peace operations using both existing and emerging stability operations doctrine. A starting point for this process would be the creation of ARTs and measures of performance for military tasks that are already recognized doctrinally as being key elements of peace operations. These tasks could be derived from FM 3-07, which provides a list of subordinate operations to PE operations, and FM 3-07.31, which lists military tasks that a peace force must do to provide a secure environment during peace operations.⁶⁹ A list of potential subordinate ARTs might be control and occupy key urban and rural terrain; separate belligerent forces; disarm, demobilize, and reintegrate belligerents; control weapons; control borders; secure critical infrastructure; establish and ensure freedom of movement; establish and supervise protected areas; establish and ensure public security; and protect humanitarian assistance.

Finally, the above tasks cannot be adequately done until existing peace operations doctrine is fully supported by the required subordinate doctrine and TTPs. It is thus essential that, as new keystone doctrine for stability, SSTTR, and peace operations is developed, the supporting doctrine and TTPs required to execute these emerging peace operations concepts are also developed.

Freedom of movement has many similarities with the ARTs for Convoy Security Operations (ART 5.3.5.4.2) and Route Security Operations (5.3.5.4.3), although these missions are narrower in scope and focus on protecting military lines of communication.⁷⁰ Certainly, both of these missions, when extended to cover host nation and other civilians, would be an integral part of ensuring freedom of movement.

⁶⁸ Headquarters, Department of the Army (2006b), pp. 8-13 to 8-14.

⁶⁹ Headquarters, Department of the Army (2003), pp. 4-7 through 4-10; and Air Land Sea Application Center (2003), p. III-1.

⁷⁰ FM 3-90 discusses these missions in its appendix on rear area security, a mission that is doctrinally defined to focus purely on U.S. or coalition military forces and installations. See Headquarters, Department of the Army (2001), pp. E-31 through E-40.

Ensuring freedom of movement itself, however, is an integral part of the civil protection mission and needs to be discussed in emerging civil security doctrine. Doing so will ensure that these tasks are integrated into the broader civil protection mission and that the provision of civil security does not focus solely on static facilities but also protects the civil lines of communication that are necessary for a functioning society.

Host Nation Security Force Development

The development of host nation security forces, to include civilian police, is a key mission area in the ETM and includes 15 essential tasks, 10.8 percent of the security technical sector (see Table 3.8). These tasks include the training and equipping of indigenous military, border security, and demining personnel as well as “creating the capacity” to protect a broad range of critical host nation facilities, infrastructure, and civilian personnel. Not explicitly included in the security technical sector is the mission of training and equipping indigenous police forces. This task, however, is organically linked to the mission of establishing a safe and secure environment. The ETM includes the training of existing police forces but does not directly address the creation of a new police force. The training of existing indigenous police forces to “international policing standards” (5.2.1.2) is included in the Justice and Reconciliation technical sector. It is part of the Indigenous Police (5.2) sectoral task but is an important security-related function that overlaps with the tasks included here. The most appropriate ART to cover the bulk of these training requirements is Conduct Security Assistance (ART 8.3.3), as it covers the provision of military training to foreign nations.⁷¹ Security assistance does not explicitly include the training of police forces but, since a viable police force is a prerequisite for host nation security, we treat ART 8.3.3 as an analogous ART for the training of police forces.

⁷¹ An alternative ART would be ART 8.3.2.1 (Provide Indirect Support to Foreign Internal Defense); however, this ART includes security assistance programs within its definition and is thus broader in scope than ART 8.3.3.

Table 3.8
ETM Tasks Included in the ARTs Related to Conducting Security Assistance

ART 8.3.3 (Conduct Security Assistance)	
1.1.3.5.	Train and equip indigenous military forces (T)
1.1.3.8.	Provide conventional military assistance programs (FS)
1.1.3.9.	Establish military-to-military programs with the host country's forces (FS)
1.1.4.11.	Develop indigenous arms control capacity (FS)
1.2.1.2.	Train and equip border security personnel (T)
1.2.2.6.	Develop indigenous capacity to assure and regulate movement (T)
1.3.4.8.	Train and equip indigenous de-mining elements (T)
1.3.4.9.	Transfer de-mining and UXO removal operations to indigenous actors (FS)
1.4.1.4.	Create indigenous capacity to protect private institutions and key leaders (T)
1.4.2.3.	Create indigenous capacity to protect critical infrastructure (T)
1.4.3.3.	Create indigenous capacity to protect military infrastructure (T)
1.4.3.4.	Identify [military infrastructure] modernization needs and means to achieve them (FS)
1.4.4.2.	Create indigenous capacity to protect public institutions (T)
1.5.1.3.	Create indigenous capacity to protect government-sponsored civilian stabilization and reconstruction personnel (T)
1.5.2.3.	Create indigenous capacity to protect contractor and NGO stabilization personnel and resources (T)
3.5.3.1.	Employ a "train-the-trainer" approach to assist in clearing landmines; train an initial team of host country personnel in mine clearance techniques, including medical evacuation procedures in the event of a demining accident (T)*
5.2.1.2.	Train existing indigenous police in international policing standards (IR)*

NOTES: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

* These ARTs are from a different technical sector. We include these essential tasks because they are security related, have the potential to be important mission drivers, and are similar to essential tasks in the security technical sector.

The Conduct Security Assistance ART is a catchall one that lacks subordinate functions and developed measures of effectiveness. This fact appears to reflect a current lack of supporting doctrine and TTPs for the training mission. Much of the specialized knowledge for this mission currently resides within the Special Forces community and is distilled in FM 31-20-3 (*Foreign Internal Defense Tactics, Techniques, and Procedures for Special Forces*) (September 1994). The ability of Spe-

cial Forces to conduct large-scale training programs, however, is limited by its small size and specialized nature. To overcome this shortfall, it is important that the existing relevant doctrine and TTPs are “mainstreamed” and absorbed by the general purpose forces.

Emerging doctrine is beginning to address the importance of training host nation security forces. There is an extensive discussion of host nation security force development in FM 3-24 (*Counterinsurgency*). FM 3-24 defines security forces as including military forces, police, corrections personnel, and border guards (including the coast guard) that exist at the local through national levels.⁷² Regarding police personnel, the current version of the revised FM 3-19.10 (*Law and Order Operations*) has an extensive discussion on MP training of indigenous police forces. Legal restraints in the Foreign Assistance Act of 1961 may limit the military’s ability effectively train host nation police forces.⁷³ If this is so, new legislation may be needed before further doctrinal elaboration on the topic.

Recommendations. Given the saliency of the development of indigenous security forces, it is important that this issue be addressed adequately in FM 3-07 and that the supporting doctrine and TTPs required to execute this mission are developed. In particular, because Special Forces doctrine focuses on relatively small-scale training operations using developed institutions and infrastructure, it is important that concepts and procedures are developed to allow for the large-scale training of host nation security from the ground up. In addition, the training task needs to be mainstreamed through the development of procedures that ensure that general purpose forces can advise

⁷² Headquarters, Department of the Army (2006e), p. 6-1.

⁷³ Air Land Sea Application Center (2003), p. VI-10. The Foreign Assistance Act of 1961 prohibits the military from training host nation civilian police. An exception may be made, however, “with respect to assistance provided to reconstitute civilian police authority and capability in the post-conflict restoration of host nation infrastructure for the purposes of supporting a nation emerging from instability, and the provision of professional public safety training, to include training in internationally recognized standards of human rights, the rule of law, anti-corruption, and the promotion of civilian police roles that support democracy.” Foreign Assistance Act of 1961 (22 U.S.C. 2420).

and mentor host nation security forces. Pursuant of this last goal, it may be advisable to include a discussion, perhaps even an appendix, in emerging Brigade Combat Team (BCT) field manuals on this topic. Finally, to facilitate the mainstreaming of this task, subordinate ARTs and measures of effectiveness for the training of host nation security and police forces need to be developed and situated in the appropriate place in the emerging AUTL taxonomy.

Civil Administration—Security-Related Functions

Seven of the examined ETM essential tasks in the security technical sector can be broadly characterized as relating to civil administration. The tasks are listed in Table 3.9. ART 6.14.6 (Establish Temporary Civil Administration) is a recognized Civil Affairs task and is doctrinally supported by FM 41-10 (*Civil Affairs Operations*), and FM 3-05.401 (*Civil Affairs Tactics, Techniques, and Procedures*). As these tasks are largely procedural in nature or relate to the creation and promulgation of regulations, they do not require significant doctrinal support.

Table 3.9
ETM Tasks Included in the ARTs Related to Civil Administration (Security Functions)

ART 6.14.6 (Establish Temporary Civil Administration (Friendly, Allied, and Occupied Enemy Territory))	
1.2.1.3.	Begin transfer of border, port and airport control to indigenous actors (FS)
1.2.2.1.	Establish and disseminate rules relevant to movement (IR)
1.2.2.4.	Regulate air and overland movement (IR)
1.2.2.8.	Transfer responsibility [for freedom of movement] to indigenous actors (FS)
1.2.3.1A	<i>Establish identification regime</i> including securing documents relating to personal identification, property ownership, court records, voter registries, birth certificates and driving licenses (IR)
1.2.3.1B	<i>Establish identification regime</i> including <i>securing documents</i> relating to personal identification, property ownership, court records, voter registries, birth certificates and driving licenses (IR)
1.2.3.2.	Develop mechanisms for dealing with long term disputes relating to property ownership, court records, etc. (T)

NOTE: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

It is our understanding that CADD is currently in the process of reorganizing FM 7-15 to elevate and highlight tasks related to stability operations. This process has led CADD to create ART 7.3 (Conduct Stability Operations). It is also our understanding that CADD plans to include ART 6.14.6 and its subordinate ARTs—ART 6.13.2 (Conduct Populace and Resource Control) and ART 8.4.2 (Conduct Foreign Humanitarian Assistance)—in ART 7.3.⁷⁴

Miscellaneous ETM Essential Tasks

A variety of diverse tasks in ETM security technical area are not easily grouped into broader mission area categories. A number of these can be characterized as being intelligence-related and we break them out from the larger miscellaneous category. All of these tasks are discussed below.

Intelligence

Six ETM essential tasks are generally intelligence related. These tasks fall into the three ARTs identified in Table 3.10. None of these tasks require any specific doctrinal support. However, as intelligence will be a key part of any future SSTR operations, emerging doctrine needs to articulate clearly the intelligence requirements for these operations. In particular, it has to illuminate those intelligence requirements that are different from those of offensive, defensive, and major combat operations. A potential model for this discussion would be the treatment of intelligence matters in FM 3-24, which devotes a major chapter (Intelligence in Counterinsurgency) and an appendix (Social Network Analysis and Other Analytical Tools) to the issue.

⁷⁴ Derek Eaton and Thomas Szayna discussions with CADD staff, Fort Leavenworth, September 2006.

Table 3.10
ETM Tasks Included in the ARTs Related to Intelligence

ART 1.1.1.1 (Define the Operational Environment)
1.1.1.3A. <i>Identify</i> and neutralize potential spoilers (IR)
ART 1.1.1.3 (Evaluate the Threat)
1.1.5.3A. <i>Identify</i> , gather and disband structural elements of belligerent groups (T)
1.4.3.1A. (I) <i>Identify</i> , secure and protect stockpiles of conventional, <i>nuclear, biological, radiological and chemical</i> materials (IR)
1.4.3.1B. (I) <i>Identify</i> , secure and protect stockpiles of <i>conventional</i> , nuclear, biological, radiological and chemical materials (IR)
ART 1.1.4 (Conduct Police Intelligence Operations)
1.1.4.3. Identify international arms dealers (IR)
1.4.5.1A. <i>Locate</i> and safeguard key <i>witnesses, documents and other evidence</i> related to key ongoing or potential U.S. investigations and prosecutions (IR)

NOTE: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

Other

All of the essential tasks listed in Table 3.11 involve well-established military capabilities and mission areas. As a result, they do not require additional doctrinal support to be executed. Several of these tasks, however, have the potential to require large numbers of military personnel. These tasks include the provision of logistics and health support to civilians involved in SSTR operations (essential tasks 1.5.1.2 and 1.5.2.2) and to belligerents undergoing the process of demobilization (essential tasks 1.1.5.2A and 1.1.5.2B). Although the execution of such a task may not differ much from existing sustainment doctrine, this assumption needs to be vetted by the doctrinal community to ensure that it is correct. Should there be significant differences in the logistics and health support requirements of civilian SSTR operations personnel, a mismatch between expected and actual requirements may emerge during future stability operations. The new FM 4-0 (*Sustainment*) thus needs to include a discussion of these potential additional requirements to ensure adequate sustainment support planning for future SSTR operations. The next edition of FM 4-02 (*Force Health Protection in a*

Table 3.11
ETM Tasks Included in Other ARTs

ART 5.1.1.2.2 (Conduct Route Clearance)
1.2.2.3A. (I) <i>Dismantle roadblocks</i> and establish checkpoints (IR)
ART 6.0 (Combat Service Support)
1.5.1.2. Provide logistical support to sustain them [government-sponsored civilian stabilization and reconstruction personnel] in the field (IR)
1.5.2.2. Provide logistical support [to contractor and NGO personnel] (IR)
ART 6.1.1 (Provide Subsistence (Class I))
1.1.5.2B. Ensure adequate health, <i>food provisions</i> , and security for belligerents (IR)
ART 6.3.3 (Conduct Mode Operations)
1.2.2.2. Facilitate internal travel of key leaders (IR)
ART 6.5 (Provide Force Health Protection in a Global Environment)
1.1.5.2A. Ensure adequate <i>health</i> , food provisions, and security for belligerents (IR)
ART 6.10.3 (Provide Engineer Construction Support)
1.1.5.1. (I) Establish demobilization camps (IR)
1.1.5.6. (I) Decommission camps (FS)
ART 6.13.1 (Perform Enemy Prisoners of War/Civilian Internment)
1.3.2.2. Supervise incarceration processes and transfer to prison facilities (IR)
ART 6.14.1 (Provide Interface/Liaison Between US Military Forces and Local Authorities/Nongovernmental Organizations)
1.1.1.5. Engage indigenous forces capable of promoting immediate stability (IR)
ART 6.14.7 (Conduct Negotiations with and Between Other Governmental and Nongovernmental Organizations)
1.1.1.4. Negotiate terms for exchange of prisoners of war (IR)
1.1.4.1. Negotiate arrangements with belligerents (IR)
1.6.5.1. Negotiate or modify regional security arrangements with all interested parties (IR)
1.6.5.2. Negotiate the enhancement of cross border controls and security (IR)

NOTE: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

Global Environment) should be similarly vetted to ensure that Army doctrine adequately supports these potential additional health support requirements.⁷⁵

⁷⁵ Although outside our focus on security tasks, the tasks within both the Humanitarian Assistance and Infrastructure technical sectors of the ETM also have the potential to require

Basic guidelines for conducting negotiations can be found in Appendix E of FM 3-07 (*Stability Operations*) (February 2003) and in Chapter VII of FM 3-07.31 (*PEACE OPS: Multi-Service Tactics, Techniques, and Procedures for Conducting Peace Operations*) (October 2003). The forms of negotiation listed in the ETM would generally be conducted at high levels and do not require specific doctrinal support.

ETM Tasks That Do Not Fit into Existing ART Taxonomy

We have identified 37 ETM essential tasks for which there are no appropriate ARTs. Nine of these tasks relate to DDR operations, a topic touched on above in the section on peace operations. The remaining 24 ETM essential tasks are diverse and cannot be grouped into any meaningful functional categories. Instead, we group them into three broad subcategories based on their potential relationship to the *Army Universal Task List*. These subcategories are essential tasks that cannot be encompassed by an ART, that have no appropriate ARTs, and that do not require ARTs because they are unlikely to need current or future Army capabilities and thus do not require the development of additional Army doctrine.

Demobilization, Disarmament, and Reintegration Operations

Demobilization, disarmament, and reintegration operations are an important part of the ETM's sectoral task 1.1. Indeed, they consist of 33 (58 percent) of the essential tasks in this sector. The essential tasks related to disarmament are largely covered by the peace operation ARTs, whereas others are distributed across a collection of additional ARTs. However, the 13 essential tasks listed in Table 3.12 are not adequately covered by any existing Army Tactical Tasks. For the most part, these essential tasks relate to the reintegration of former combatants and the planning involved in the creation of new host nation

nontrivial Army logistics, health service, and engineering support. It is important, then, that the appropriate doctrinal publications in these areas adequately address these potential needs.

Table 3.12
ETM Tasks Related to DDR Operations

No Army Tactical Tasks Adequately Covering DDR Operations	
1.1.3.1.	Implement plan for disposition of indigenous armed forces and other national security institutions (IR)
1.1.3.2.	Identify future roles, missions and structure (IR)
1.1.3.3.	Vet senior officers and other individuals for past abuses (IR)
1.1.3.4.	Coordinate and integrate with DDR plans (IR)
1.1.3.6.	Establish transparent entry, promotion, and retirement systems (T)
1.1.3.7.	Establish programs to support civilian oversight of military (T)
1.1.5.3B.	Identify, <i>gather and disband</i> structural elements of belligerent groups (T)
1.1.6.1.	Design reintegration strategy, including assessment of absorptive capacity of economic and social sectors (IR)
1.1.6.2.	Provide jobs, pensions or other material support for demobilized forces (IR)
1.1.6.3.	Coordinate with overall political and economic recovery plans (IR)
1.1.6.4.	Provide job training, health screening, education, and employment assistance for demobilized forces (T)
1.1.6.5.	Reintegrate ex-combatants into society (FS)
1.1.6.6.	Provide follow-up services for reintegration (FS)

NOTE: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

security forces. The Army is unlikely to take the lead on either of these missions, but their success or failure will have a direct effect on Army forces during SSTR operations.

Current military doctrine recognizes the DDR mission as an important component of peace operations. But although FM 3-07.31 identifies DDR operations as an important military task to be conducted during peace operations, it does not provide any doctrinal support for it.⁷⁶ In fact, no integrated U.S. military doctrine relating to this task currently exists. Such doctrine exists elsewhere; the United Nations Department of Peacekeeping Operations has published several documents that are relevant to DDR operations. These include *Disarmament, Demobilization, and Reintegration of ex-Combatants in a Peacekeeping Environment: Principles and Guidelines* (2000), and *Dis-*

⁷⁶ Headquarters, Department of the Army (2003), p. III-1.

armament, Demobilization, and Reintegration of ex-Combatants in a Peacekeeping Environment: Principles and Guidelines for the Collection and Destruction of Ammunition (Revised) (2002).

Recommendations. The U.S. military may have an important role to play in the initial phases of a DDR operation, in particular those related to disarmament and demobilization. Although these tasks are superficially similar to detainee operations, the handling of former combatants in an SSTR operation environment is sufficiently different that it may warrant the development of separate doctrine and TTPs. Failure to facilitate the smooth reintegration of former combatants back into society and to ensure that they are not motivated to become disgruntled “spoilers” opposed to the new governing order could have important consequences for U.S. ground forces engaged in support of SSTR operations. Thus, the Army’s doctrinal community needs to examine this issue to determine whether and to what extent Army doctrine for DDR operations should be developed.

The above notwithstanding, key portions of the DDR mission, in particular the disposition and reintegration tasks, are beyond the purview of the U.S. Army and will require Joint or interagency participation. DDR “doctrine” is thus not solely the responsibility of the U.S. military. The success or failure of future DDR operations, however, will have a disproportionate effect on committed U.S. land forces and therefore they have a vital interest in ensuring that viable interagency (IA) DDR doctrine exists. As a result, the Army doctrinal community is in a position to take the lead in the process of examining existing DDR concepts and determining whether the development of an integrated interagency doctrine for DDR operations is appropriate.

Miscellaneous ETM Essential Tasks with No Appropriate ARTs

Twenty-four ETM essential tasks (17 percent) currently have no appropriate ARTs listed in the AUTL (see Table 3.13). These tasks fall into three broad categories: those that are too broad to be readily defined by an ART, those for which ARTs do not currently exist, and those that are not Army missions and thus do not require ARTs.

Table 3.13
ETM Tasks That Are Not AUTL-Appropriate Tasks

Not AUTL Appropriate Task

1.1.2.3. Conduct counterinsurgency operations (IR)

NOTES: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

One potentially significant ETM task is the conduct of COIN operations. In emerging Army doctrine, COIN is not an essential task and thus cannot be encompassed within a single or small group of ARTs. Instead, it is a campaign theme in which stability operations are the decisive operations. COIN campaigns seek to provide security to the host nation population and reduce popular support for an insurgency by facilitating reform and cutting the insurgency's external links.⁷⁷ COIN doctrine is well developed and currently laid out in FM 3-24 (*Counterinsurgency*). Older supporting doctrine includes FM 7-98 (*Operations in a Low-Intensity Conflict*) (1992), and FM 90-8 (*Counter-guerrilla Operations*) (August 1986).

Since the conduct of counterinsurgency operations is a multifaceted operation type that involves the combination of offensive, defensive, and stability operations, it is not a tactical-level collective task and does not and cannot have a single unique ART. Indeed, many of the essential tasks listed in the ETM would be integral parts of a counterinsurgency campaign. The broad scope of a counterinsurgency operation calls into question the ETM's placement of it so far down in its taxonomy, where it is considered a task conducted in support of the enforcement of peace agreements (Task 1.1.2). Such a placement suggests that the ETM sees this task as the military enforcement of peace agreements, something that might better be considered raids, shows of force, cordon and search operations, etc., and not necessarily as COIN per se. As a result, the Army needs to engage S/CRS to clarify and refine the task, as its current manifestation is likely to result in confusion.

⁷⁷ Headquarters Department of the Army (2006d), p. 2-9.

The placement of COIN operations at the essential task level in the ETM highlights an important omission in this taxonomy, namely, its lack of a clear articulation of the offensive military tasks that might be required to support SSTR operations. Although offensive military operations are not the primary focus of support of SSTR operations, it may be necessary to conduct raids, limited strikes, or other offensive operations to ensure the success of the overall mission. A clearer articulation of these requirements within the ETM would help clarify and bound the expected extent of the military's involvement in support of a given SSTR operation. In addition, it would help frame for the military's IA partners the security characteristics and requirements of their operational environment.

We did not identify ARTs for another category of tasks because relevant ARTs do not exist (see Table 3.14). The bulk of these tasks are operational or strategic and the Army would be unlikely to take the lead on them. Decisions in regard to these tasks would generally be made at the national, theater, or component commander level. The Army would, however, be involved in supporting or operationalizing some of these tasks. However, given the basic nature of these tasks, they do not require any significant doctrinal support. In addition, Universal Joint Task List tasks cover most of them.

Finally, 10 ETM tasks (7.2 percent) are unlikely to require current or future Army capabilities (see Table 3.15). As a result, we assess that the development of Army doctrine for these tasks is not necessary.

The bulk of the tasks in this category (tasks 1.1.7.1 through 1.1.7.8) are related to the disposition and reconstitution of a host nation's intelligence services. Army personnel may play a supporting role in this task, such as helping to vet former regime intelligence personnel for past human right abuses, but, by and large, it is not an Army tactical-level task. It is a task best handled at the Joint or interagency level.⁷⁸ As a result, we assess that the development of Army doctrine for these tasks is neither appropriate nor necessary.

⁷⁸ Lidy et al. (2006) suggest that the lead agencies for this task would be the Department of Homeland Security, the Department of Justice, the Central Intelligence Agency, and, finally, the Department of Defense.

Table 3.14
ETM Tasks for Which There Are No Appropriate ARTs

No Appropriate Army Tactical Tasks

- 1.1.4.9. Cooperate with legal authorities to prosecute arms dealers (T)
 - 1.3.2.3. Maintain positive relations with indigenous population [while conducting interim policing operations] (T)
 - 1.3.3.3. Maintain positive relations with indigenous populations [while conducting crowd and disturbance control operations] (T)
 - 1.3.4.7. Promote mine awareness (T)
 - 1.6.1.1. Develop integrated command, control and intelligence (C2I) and information sharing arrangements between international military, constabulary and civilian police forces (IR)
 - 1.6.1.2A. *Determine rules of engagement; clearly define roles and responsibilities, including custody/transfer of detainees* (IR)
 - 1.6.1.2B. *Determine rules of engagement; clearly define roles and responsibilities, including custody/transfer of detainees* (IR)
 - 1.6.2.1. Provide integrated intelligence support for international military, constabulary and civilian police forces (IR)
 - 1.6.3.1. Develop coordinated C2I arrangements between international and indigenous security forces (IR)
 - 1.6.4.1. Develop coordinated military and civilian C2I and information sharing arrangements (IR)
 - 1.6.5.3. Consult with neighboring countries on border security plans (IR)
 - 1.6.5.4. Establish mechanisms for implementing regional security arrangements (T)
 - 1.6.5.5. Monitor compliance with and reinforce [regional security] arrangements (FS)
-

NOTES: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

This assessment is reflected in emerging COIN doctrine, which does not include the development of a national-level intelligence service in its discussion of the development of host nation security forces.

Task 1.1.3.10 (Sustain International Support [for the Disposition and Constitution of National Armed Services]), although important, is not a doctrinally relevant collective task. Instead, it is a political goal best pursued at the theater or higher level. Finally, the ETM task 1.2.1.4 (Ensure Air and Naval Freedom of Movement) is not land-power-oriented and is best achieved by U.S. or coalition air and naval forces.

Table 3.15
ETM Tasks That Are Not ARTs

Not an Army Tactical Task
1.1.3.10. Sustain international support (FS)
1.1.7.1. Implement plan for disposition of indigenous intelligence services and other national security institutions (IR)
1.1.7.2. Identify future roles, missions and structure (IR)
1.1.7.3. Vet individuals for past abuses and activities (IR)
1.1.7.4. Coordinate and integrate with DDR plans (IR)
1.1.7.5. Assist in and monitor the rebuilding and reorganization of official national security institutions (T)
1.1.7.6. Promote civilian control (T)
1.1.7.7. Establish transparent entry, promotion, and retirement systems (T)
1.1.7.8. Establish service-to-service programs with the host country's [intelligence] services (FS)
1.2.1.4. Ensure air and naval freedom of movement (FS)

NOTES: (I) denotes that the task has infrastructure implications. The S/CRS ETM essential tasks are divided into three temporal categories: immediate response (IR), transformation (T), and fostering sustainability (FS).

Gaps in the ETM

Despite its length, the ETM is not a comprehensive list of all the broader mission areas that might be required during a post-conflict SSSTR operation. Two major mission areas that are missing are detainee operations and Nuclear, Biological, and Chemical (NBC) consequences management operations. Historical experience suggests that in the aftermath of a major conflict involving U.S. forces, detainee operations will need to be conducted to incarcerate both former opponents and “spoilers” who oppose the new political order. In addition, as the presence of NBC weapons in some future conflict scenarios is likely, planning for post-conflict operations must take into account the possibility that such weapons will either have been used or are present in the area of operations. Doctrinally, these two missions are discussed in FM 3-19.40 (*Military Police Internment/Resettlement Operations*) and FM 3-11.21 (*Multiservice Tactics, Techniques, and Procedures for Nuclear, Biological, and Chemical Aspects of Consequence Management*).

Also missing is the cross-cutting task of integrating indigenous security forces into U.S. and coalition security plans. This is particularly important in sectoral tasks 1.2 (Territorial Security), 1.3 (Public Order and Safety), and 1.4 (Protection of Indigenous Individuals, Infrastructure and Institutions). Although such integration is alluded to in the ETM task 1.6.3 (Coordination with Indigenous Security Forces), the single task within this category, 1.6.3.1 (Develop Coordinated C2I Arrangements Between International and Indigenous Security Forces), does not fully capture the degree of integration that may be required in some SSTR operations. In such cases, it may not simply be a matter of coordination but one of detailed integration into U.S. or coalition operations or military units.

The Need for Common Definitions

As we noted in Chapter Two, despite the massive amount of work and rethinking of SSTR operations at the interagency, Joint, and service levels, there remains a basic definitional problem. As noted above, U.S. Army definitions and those used within the ETM do not always seem to coincide. Examples of this problem at the essential task level are the ETM's use of the terms "demining" and "COIN." This problem, however, also appears to exist at the larger level within the Joint and interagency community in regards to some of the most basic terms of SSTR operations, such as "security" and "stability." For example, the *Military Support to SSTR Operations JOC* states that "security operations" involve the "establishment of a safe and secure environment for the local populace, host nation military and civilian organizations as well as USG and coalition agencies, which are conducting stability operations."⁷⁹ For the U.S. Army, however, "security operations" have a much narrower meaning and are directly tied to the requirements for major combat operations. Security operations are defined as "those operations undertaken by the commander to provide early and accurate warning of enemy operations, to provide the force being protected

⁷⁹ U.S. Department of Defense (2006a), p. 2.

with time and maneuver space within which to react to the enemy, and to develop the situation to allow the commander to effectively use the protected force.”⁸⁰ The ETM definition of security operations as “establish a safe and secure environment” is less well defined, but it appears to be largely congruent with the Joint definition.⁸¹ It is interesting to note that the *Draft Planning Framework* does not define “security.” Other civilian agencies and organizations are likely to define security as something more akin to the dictionary definition of the quality or state of being free from danger.⁸² That the emerging Army definition of civil security appears to equate with the Joint and DoS definition of security may help, but will not totally eliminate, the potential for confusion in this area.⁸³

Similarly, there are subtle differences between the Joint and Army definitions of “stability operations.” Recent Joint doctrine retains the plural form of stability operations and defines them as “an overarching term encompassing various military missions, tasks, and activities conducted outside the United States in coordination with other instruments of national power to maintain or reestablish a safe and secure environment, provide essential governmental services, emergency infrastructure reconstruction, and humanitarian relief.”⁸⁴ Emerging U.S. Army doctrine, however, uses the singular and defines a stability operation as one that is “executed outside of the United States to sustain and exploit security and control over areas, populations, and resources.”⁸⁵ In addition, a stability operation is one of four coequal operation types that

⁸⁰ Headquarters, Department of the Army (2001), p. G-24.

⁸¹ U.S. Department of State (2005b), p. I-1.

⁸² *Merriam-Webster's Collegiate Dictionary*, 10th ed., Springfield, Mass.: Merriam-Webster, 1998, p. 1056.

⁸³ Civil security involves safeguarding the populace from serious external and internal threats. Derek Eaton and Thomas Szayna discussions with CADD staff, September 13, 2006.

⁸⁴ Joint Chiefs of Staff (2006), pp. GL-28 through GL-29.

⁸⁵ U.S. Army Combined Arms Center (2006a), p. GL-4.

are purposefully combined into a full spectrum operation.⁸⁶ The main difference here is that although Joint doctrine sees stability operations as maintaining or reestablishing a safe and secure environment, Army doctrine sees a stability operation as one that sustains and exploits, but does not necessarily create, an existing security environment.

Differing definitions of such key terms matter because the lack of a common Joint and interagency language may lead to differing mission expectations. Having common expectations is important because expectations will drive planning by influencing perceptions as to the nature of the operational environment, analysis of the mission requirements to be met by other agencies or organizations, and calculation as to what an agency needs to contribute. Differing expectations may lead to differing planning outcomes at the agency level. Although a well-coordinated Joint and interagency planning process might be able to overcome and ameliorate these differences, there is no guarantee that this will occur or that during a crisis there will be enough time available to catch and rectify these differences. As a result, preventing such problems from arising in the first place by having a common doctrinal and referential framework is the best solution.

The definitional problem is well known in the Joint and Army doctrinal communities. So far, the various participants have agreed to disagree.⁸⁷ Given the increasing involvement of civilian agencies and departments, such an interim solution is no longer tenable. Army TRADOC, JFCOM, and S/CRS need to work out common terminology and definitions for SSTR operations. Given the importance of this matter, TRADOC is in a position to take the initiative, perhaps through ARCIC, to find a mutually agreeable solution, or if necessary an appropriate workaround, for the problem of different doctrinal and interagency definitions. One approach to this issue would be to develop and regularly update an interagency equivalent of JP 1-02 for SSTR operations.

⁸⁶ The other three are offense, defense, support operations. U.S. Army Combined Arms Center (2006a), pp. 4-1 through 4-3.

⁸⁷ See U.S. Joint Forces Command (2006c), p. 5-7.

Conclusions

The Army's doctrinal community is actively engaged in integrating important SSTR operations concepts into emerging Army doctrine. We expect FM 3-07, when published, to be a significant step forward. However, it is only a first step. FM 3-07 will need to be supported by the development of appropriate supporting doctrine and TTPs to ensure that its concepts can be successfully executed and internalized by the Army's operational forces. This will be particularly true for key components of the ETM, such as civil security, border control, provision of civil law and order, and host nation security force development. A failure to operationalize and internalize these tasks may leave the Army ill-prepared to meet interagency requests and expectations during future SSTR operations.

The Army's doctrinal community will also need to ensure that the appropriate ARTs and their supporting measures of effectiveness are developed for its emerging stability operations doctrine. This is necessary for several reasons. First it will help ratify the formal elevation of stability operations to a status on par with major combat operations. This formal elevation is largely meaningless unless the ARTs supporting stability operations are developed to the same degree as the combat-oriented ones that currently dominate the AUTL. Second, and more important, the development of ARTs will drive the creation of training programs that will help ensure that these concepts are institutionally internalized and trainable to units that may be required to execute them. Doctrine is largely meaningless unless it can be trained for and disseminated to the appropriate personnel. The AUTL and its associated ARTs are an important link in this chain.

Conclusions and Recommendations

Conclusions

U.S. participation in SSTTR operations is likely to remain a persistent feature of U.S. defense policy. Whatever the term used to describe these types of operations, the United States, throughout its history, has used its power in a way currently referred to as SSTTR operations¹ and these operations can determine the success or failure of the larger U.S. objectives in the conflict. In this context, developing greater interagency capacity for SSTTR operations is an overall goal that will retain resonance. What we identify as the four pillars² of the current process to rethink the whole approach to SSTTR operations set the stage for a more comprehensive way to plan, coordinate, and execute SSTTR operations with the full involvement of U.S. civilian agencies and departments. As the main land force provider, the Army is a major stakeholder in the process.

Through our examination of the evolving Army doctrine on stability operations, we have identified the areas where the Army can become more compatible with the emerging interagency thinking on SSTTR operations. Modifying Army doctrine in line with the ETM and

¹ Yates (2006).

² See Chapter Two. The four pillars are (1) *U.S. Government Draft Planning Framework for Reconstruction, Stabilization, and Conflict Transformation*, (2) *The Post Conflict Essential Tasks Matrix (ETM)*, (3) operational concepts that center on three types of civilian-military teams, (4) *Military Support to Stabilization, Security, Transition, and Reconstruction Operations Joint Operating Concept (JOC)*.

preparing Army personnel for dealing with the proposed civilian teams will improve interagency effectiveness in potential future SSTR operations as well as give the Army greater input in the interagency process. Doctrinal change is essential as it will drive changes in training and the other dimensions of DOTMLPF.

That said, Army-focused changes can address only a part of the larger picture. A former Defense Department official has noted that a

key issue—the need for all components of the U.S. Government . . . to develop shared assumptions and expectations in COIN—is above the pay grade of military doctrine. If the United States expects to be engaged in COIN in the future . . . it had best address these issues rather than assume that forthcoming military doctrine resolves them.³

The statement applies not just to COIN but to stability operations in general. A national-level mobilization of resources for SSTR operations is the intent of the NSPD-44 process. If the interagency effort is successful, then Departments of Justice, Homeland Security, Treasury, Agriculture, and many other U.S. agencies will work with Army personnel during the planning stages of SSTR operations as well as in the FACTs during actual execution of SSTR operations. Relying on the civilian agencies and departments for some resources and assets will alleviate some of the demands for Army forces to support SSTR operations.

But the intent of NSPD-44 reflects an attempt to put in place the most fundamental lesson in strategy and conflict, namely, that the focus of any conflict should be on the post-war objectives and all actions during a conflict should support that objective. As a prominent strategic thinker notes:

Stability operations must be approached as being integral to strategy, not as behavior that follows the “war proper.” War is only about the peace that follows. It should be waged in such a style that the subsequent peace is not fatally mortgaged. With respect to irregular

³ Sewall (2006), p. 103.

conflict, the current focus of most attention, stability operations, are, or should be, part and parcel of the US strategy from the very outset. If you wage the war, be it regular or irregular, intelligently and effectively, the need for postwar stability operations should be minimal.⁴ [*italics in original*]

The four pillars of the emerging U.S. government planning and coordination process for SSTR operations that we have identified all have the potential to focus U.S. actions on the basic objectives. Ensuring that post-conflict considerations will influence the conduct of major combat operations (by way of the three-team concept in the Interagency Management System), the involvement of all U.S. government agencies and departments in the planning and implementation process (as noted in the *Draft Planning Framework*), the delineation of the tasks that might be involved in bringing about a sustainable peace (as done in the ETM), and the conceptual long-term drawing out of the military role in SSTR operations (as done in the JOC on SSTR operations) are major steps forward toward a more comprehensive and objective-based process.

The above notwithstanding, the NSPD-44 process is still at an early stage of development and it is not a given by any means that the objectives outlined in NSPD-44 will be realized. The reasons for our caution include past experience with implementation of executive-level directives regarding SSTR-like operations (as U.S. interest in peace operations in the Balkans waned, PDD-56 guidance concerning U.S. capabilities for peace operations was informally phased out), the relatively weak support for S/CRS provided so far by Congress, organizational incentive systems of the various U.S. departments and agencies that act against interagency collaboration in SSTR operations, and institutional incentives within the DoD that remain focused on major combat operations against state actors.

There is also the issue of a creeping “SSTR fatigue,” in that NSPD-44 and DoDD 3000.05 were motivated by the shortcomings in Afghanistan and Iraq. In a longer-term perspective, that motiva-

⁴ Gray (2006), pp. 4–14.

tion may decrease in intensity, as its resonance depends to some extent on continuing operations in Iraq and Afghanistan. Put differently, the interest in SSTR operations and the NSPD-44 process may wane in accordance with the overall perception in the United States of progress in ongoing SSTR operations as well as the domestic political situation of the executive-level administration, respectively. There is ample precedent on both accounts, with the post-Vietnam period of reassessment of the Army's preparation for COIN and foreign internal defense missions probably providing the best recent parallel.⁵ The risk that the progress made in preparing the agencies and the DoD for SSTR operations during the past few years may be abandoned or at least scaled down is recognized in the *Military Support to SSTR Operations Joint Operating Concept*.⁶

Quite aside from the above, using the GAO template, our assessment shows that in terms of building interagency collaborative capacity for SSTR operations, some of the essential foundations for the NSPD-44 process are not yet in place. To use a colloquial term, the realm of interagency coordination is "above the Army's pay grade," but the Army is a major stakeholder and can influence the process. However, rather than focusing on the specifics and nuances of current policy, we see it more prudent for the Army to focus on the aspects of the NSPD-44 process that have enduring value and steer its actions toward catalyzing progress in those areas. Focusing on the micro-level and catalyzing the process is something the Army can do. The GAO template offers ideas on how to proceed.

Many of these steps relate to increased civil-military interaction. The important aspect to keep in mind is that engaging in collaborative activities advances the process of creating collaborative capacity on its own, quite aside from any benefit that the specific activities might provide.⁷ This is so because it helps break down organizational barriers and achieve a sense of common purpose, establish personal bonds,

⁵ Some of these issues are noted as "risks" by JFCOM in its JOC on SSTR operations. U.S. Joint Forces Command (2006c), pp. 62-64.

⁶ U.S. Joint Forces Command (2006c), pp. 62-3.

⁷ Bardach (1998), p. 20.

and build confidence. In an overall sense, the Army's role as catalyst for building interagency collaborative capacity could have the effect of creating a whole that is bigger than the sum of its parts, in that the establishment of routine interaction and habitual relationships is a foundation for trust and allows for successful improvisation under crisis conditions.⁸

None of the above is meant to suggest that the NSPD-44 process is somehow unworkable or failing. We simply note that the process is facing many obstacles and it will take sustained attention by Congress and high levels of the executive branch, and skilled management or, to use Bardach's terms, Managerial Craftsmanship,⁹ to put the intent behind NSPD-44 into practice.

Recommendations

Below we present, in a compressed version, all the recommendations from previous chapters. We start with steps the Army can take to be a catalyst to the overall process of building interagency capacity for SSTR operations. Then we move to issues pertaining to direct Army cooperation with other agencies. We end with a list of doctrinal recommendations for the Army.

Influencing the Direction of Interagency Collaboration

1. At the level of a unifying strategic vision for the interagency process in SSTR operations, the Army's research institutes, such as the Army War College (or DoD-level institutes, such as the National Defense University), can play a role by way of identifying how the civilian departments and agencies might contribute. Through mechanisms such as workshops and conferences, the effort might include the identification of primary departments

⁸ Kapucu (2006), pp. 207–225; and Takeda and Helms (2006), pp. 397–411.

⁹ Bardach (1998). We also note that skilled management can overcome organizational-bureaucratic inertia and lead to individuals embracing the change (see Kelman, 2005).

and agencies, existing obstacles to their participation in planning and implementation of SSTR operations, and long-term plans of action to make compliance with NSPD-44 a reality.

2. Army expertise in detailed planning and familiarity with SSTR operations can provide the basis for DoD- or JFCOM-led efforts to assist S/CRS in working out a plan of action, ensure coordination, develop metrics, and provide periodic assessments of progress in building collaborative capacity for SSTR operations. Army or DoD-level research institutes can catalyze the process through workshops and exercises involving all of the stakeholders.
3. The Army can assist in the process of making easier the integration of capabilities from other agencies and departments. (1) TRADOC can assess the constraints to more effective cooperation with civilians through an effort aimed at identifying interagency lessons from operations in Afghanistan and Iraq. The result would provide an Army input into clarifying the extent of involvement and role of the civilian agencies and departments in SSTR operations. (2) At a more general level, TRADOC (and specifically ARCIC) is in a position to work out Army-specific concepts for successful integration of civilian agencies in SSTR operations, based on existing Joint doctrine on interagency operations and Army Civil Affairs doctrine. (3) The Army can play a catalytic role in increasing greatly the capabilities of civilian agencies for SSTR operations through specific loaning of staff, thereby providing the planning expertise, knowledge about requirements of SSTR operations, and ideas on efficient integration of staff in SSTR operations.
4. The lead agencies, coordinated by S/CRS will need to develop and periodically update a set of guidelines that would make explicit the command and control arrangements, scope of participation, and expectations of each agency involved in planning and executing SSTR operations. The DoD and the Army have some leverage on the process, and existing Joint and Army doctrine on interagency operations may provide the basis for the interagency guidelines. TRADOC (and specifically ARCIC) is

in a position to work out the Army-relevant concepts for these guidelines.

Improving Direct Army Cooperation with Civilians in Operational Settings

1. Drawing on Army experience with PRTs in Afghanistan and similar teams in the Balkans contributes to a template for the FACTs. There is room for identification of the standard elements of a PRT, the additional assets that may be required depending on the demographic and economic characteristics of the province, and a methodology for determining the appropriate skill sets and capabilities that might be required. TRADOC and PKSOI (relying on resources at CALL) are in a good position to provide this kind of an input. Although the above applies especially to FACTs, identifying the skill sets required also would drive the composition of the IPC and even the CRSG.
2. Since Army forces will work directly with non-DoD civilians in FACTs, without a common terminology for all participants in SSTR operations there are bound to be misunderstandings that may easily escalate to the level of souring cooperation and complicating mission accomplishment. The Army has a well-developed set of terms applicable to SSTR operations. TRADOC is in the position to spearhead an effort to prepare an inter-agency glossary as part of the training materials for the civilians in FACTs who would interact with Army forces.
3. The wealth of data at CALL on the experience of Army forces in cooperation with civilian agencies in Afghanistan, Iraq, and the Balkans allows the Army to provide informed advice as to the successful command arrangements in the field and an assessment of the reachback capabilities of civilian agencies. An Army research institute, such as PKSOI, is one candidate to lead such an effort. Besides influencing the high-level arrangements, this would allow the Army to ensure more effective ways for FACTs to function.

4. The Army can act to clarify agency roles in SSTR operations by way of workshops and exercises involving wide participation from civilian agencies. As part of these exercises, participants may be forced to deal with issues of agency roles, transfer of leadership, the manner in which the surge capacity of specific agencies might be brought into an operation, and the effect of SSTR commitments on an agency's resources and ability to carry out its domestic responsibilities. Only in the process of actual exercises will the civilian agencies and departments be forced to deal with procedural issues and questions of responsibilities in such areas as logistics, financial structures, or communications protocols and infrastructure. These exercises could be led by Army research institutes, such as the Army War College or, with Army co-sponsorship, DoD-level institutes, such as the National Defense University.

Army Doctrinal Revisions

General

1. FMI 3-07 will need to be supported by the development of appropriate supporting doctrine and TTPs to ensure that its concepts can be successfully executed and internalized by the Army's operational forces. (p. 115)
2. The Army's doctrinal community will also need to ensure that the appropriate ARTs and their supporting measures of effectiveness are developed for its emerging stability operations doctrine. (p. 116)
3. Given the importance of civil security in emerging doctrine, this concept will require discussion in the future versions of FM 3-90 (*Tactics*), FM 3-23 (*Peace Operations*), and FM 7-15 (*The Army Universal Task List*). The Army doctrinal community also needs to consider the development of a civil security equivalent of FM 3-10 (*Protection*) or FM 3-90 Appendix E (*Rear Area and Base Security*). (p. 71)

4. It remains essential that FMI 3-07 provide an integrative discussion of how offensive, defensive, and stability operations will be combined to provide full spectrum civil protection. (p. 80)
5. Army TRADOC, JFCOM, and S/CRS need to work out common terminology and definitions for SSTR operations. Given the importance of this matter, TRADOC is in a position to take the initiative, perhaps through ARCIC, to find a mutually agreeable solution or, if necessary, an appropriate work-around, for the problem of different doctrinal and interagency definitions. One approach to this issue would be to develop and regularly update an interagency equivalent of JP 1-02 for SSTR operations. (p. 115)
6. The emerging CSB (ME) would be an ideal organization to use as a laboratory for the development of Civil Security doctrine. As currently envisioned, this emerging organization is to be organized and trained to execute the security mission, in particular freedom of maneuver and protection, and would be ideally suited for the task of providing civil security, as it can task-organize at the brigade level to include engineers, military police, EOD, civil affairs, chemical, and tactical combat forces. As a result, a major component of future CSB (ME) doctrine should be the nuts and bolts of executing the civil security mission. (p. 71)

Border Control

7. Assuming that border control will be an enduring feature of future SSTR operations, it is important that existing knowledge and lessons learned be formalized and mainstreamed so that future general purpose forces can prepare for border security operations. (p. 75)
8. The AUTL also needs to recognize border control as a separate tactical-level collective task and develop the required supporting measure of performance. Ideally this new ART would be subordinate to the emerging hierarchy of civil security tasks. (p. 75)

9. The doctrinal community needs to evaluate whether continued reliance on ad hoc modifications to existing screen and cover operations is adequate or if formal doctrine and TTPs for integrated border control operations are required. (p. 76)

Civil Protection

10. Supporting doctrine and TTPs for civil protection will need to be developed to support higher-level doctrinal discussions. This will allow for a thorough doctrinal examination of the civil protection mission and ensure that personnel training for a stability operation are properly prepared to execute this task. The same basic principles that apply to base cluster and lines of communication security operations and that are articulated in JP 3-10 *Joint Security Operations in Theater* (August 2006) are probably relevant to the task of providing civil protection. These principles would provide a good starting point for emerging civil protection doctrine. They could be adapted into either a separate FM on civil protection or, at a minimum, into an appendix for the relevant higher level field manuals (FM 3-90, FM 3-23, and FMI 3-07). (p. 81)
11. The AUTL will need to be expanded to cover the full range of civil protection tasks, including the development of a hierarchy of ARTs that specifically address the protection of critical civilian infrastructure, civilian populations, and nonmilitary SSTR operations personnel. (p. 81)
12. Emerging CSB (ME) doctrine might be a useful place to develop the requirements for civil protection. (p. 82)

Protective Services

13. Expand protective service doctrine to include host nation personnel and validate that the requirements for the protection of such personnel are consistent with FM 3-19.12. (p. 83)

14. Higher-level FMs should refer to the need to protect host nation personnel and provide guidelines for who should be protected and under what conditions. (p. 83)
15. Mainstream the specialized task of protective service if large numbers of host nation personnel require protection provided by the U.S. military. An important step toward accomplishing this would be to define the task as part of the establish-civil-security-operation type and including it, where appropriate, within the AUTL. (p. 83)

Refugee/IDP Security

16. Existing doctrine for the security of refugees/IDPs should be vetted to ensure that the differences between guarding detention facilities and providing security to refugee and IDP camps are well articulated. (p. 84)

Law and Order

17. Adapt and expand existing law and order doctrine to fit SSTR operations and environments. (p. 87)
18. Adapt existing law and order procedures and TTPs for the civil law and order mission. (p. 87)
19. To help solidify these developments, either the existing ART for the provision of law and order needs to be expanded to cover civil law and order operations during SSTR operations or appropriate new ARTs should be developed. (p. 87)
20. Appropriate measures of effectiveness will also need to be developed for the civil law and order mission. (p. 87)
21. Civil law and order mission should also be reflected in the emerging AUTL hierarchy for establishing civil security. (p. 87)
22. To help ensure that the important skill set for crowd control is “mainstreamed” throughout the Army, the importance of this task needs to be highlighted in the forthcoming edition of FMI 3-07 and a reference made to FM 3-19.15. (p. 87)

23. FMI 3-90.6 does not reference FM 3-19.15; this should be done in future editions of this FM. (p. 88)
24. ART 8.4.3.3.2 (Conduct Civil Disturbance Operations) is currently a civil support operation and needs to be broadened to cover overseas operations. (p. 88)
25. The CSB (ME) could provide a useful laboratory for the development of the civil law and order mission in SSTR operations and its doctrine could cover this mission in some detail. (p. 87)

Hazard Clearance

26. The Army doctrinal community needs to engage S/CRS in clarifying the meaning of the ETM sectoral subtask demining. (p. 90)
27. The Army needs to clarify doctrinally when and how Army forces will conduct mine removal and UXO operations during SSTR operations and in support of civilian populations. (pp. 90–91)
28. Existing clearance and EOD removal doctrine and TTPs need to be reviewed to ensure their applicability to removal operations in noncombat environments where civilians are likely to be present and, if necessary, SSTR operation-specific procedures should be developed. (p. 91)
29. The emerging FMI 3-07 also needs to retain and expand on the existing limited clearance tasks identified by current stability operations doctrine. (p. 91)
30. The mine and UXO removal mission has to be articulated clearly in the next edition of FM 3-34 as well as in other relevant engineering field manuals. (p. 91)
31. The existing ART for the provision of EOD disposal support needs to be expanded to clearly include support to host nation governments or civilians, or a new one created to cover this mission, and a similar ART should be devised for the mine removal tasks. (p. 91)

32. The statutory ability of the U.S. military to support civilians by removing mines and UXO during SSTR operations has to be clarified. (p. 92)

Peace Operations

33. Ensuring freedom of movement is an integral part of the civil protection mission and needs to be discussed in emerging civil security doctrine. (p. 96)
34. Existing peace operations doctrine is not fully supported by the required subordinate doctrine and TTPs. It is thus essential that, as new keystone doctrine for stability, SSTR, and peace operations is developed, the supporting doctrine and TTPs required to execute these emerging peace operations concepts also be developed. (p. 96)
35. CADD needs to continue its current process of reevaluating and refining FM 7-15's taxonomy and begin to develop ARTs for peace operations using both existing and emerging stability operations doctrine. A starting point for this process would be the creation of ARTs and measures of performance for military tasks that are already recognized doctrinally as being key elements of peace operations. (pp. 95–96)
36. Extend ART 5.3.5.4.3 (Conduct Convoy Security Operations) and ART 5.3.4.3 (Conduct Route Security Operations) to cover host nation and other civilians. (p. 96)

Host Nation Security Force Development

37. Development of indigenous security forces needs to be addressed adequately in FMI 3-07 and the supporting doctrine and TTPs required to execute this mission need to be developed. (pp. 99–100)
38. It is important to develop concepts and procedures to allow for the large-scale training of host nation security forces from the ground up. (p. 100)

39. In addition, the training task needs to be mainstreamed through the development of procedures to ensure that general purpose forces can advise and mentor host nation security forces. (p. 100)
40. To facilitate the mainstreaming of this task, subordinate ARTs and measures of effectiveness for the training of host nation security and police forces need to be developed and situated in the appropriate place in the emerging AUTL taxonomy. (p. 100)
41. It may be advisable to include a discussion, perhaps even an appendix, in emerging BCT field manuals on the topic of the development of indigenous security forces. (p. 100)

Other

42. Emerging stability operations doctrine needs to articulate clearly the intelligence requirements for these operations. In particular, it has to illuminate intelligence requirements that are different from those of offensive, defensive, and major combat operations. A potential model for this discussion would be the treatment of intelligence matters in FM 3-24, which devotes a major chapter (*Intelligence in Counterinsurgency*) and an appendix (*Social Network Analysis and Other Analytical Tools*) to the issue. (p. 102)
43. Although the tasks for DDR operations are superficially similar to those for detainee operations, the handling of former combatants in an SSTR operation environment is sufficiently different that it may warrant the development of separate doctrine and TTPs. (p. 107)
44. Appropriate sections of the Army's doctrinal community should examine whether Army doctrine for DDR operations should be developed. (p. 107)
45. The execution of providing logistics support to civilian personnel engaged in SSTR operations does not differ much from existing sustainment doctrine, but this assumption needs to be vetted by the doctrinal community to ensure that it is correct. If there are significant differences in the logistics support requirements

of civilian SSSTR operations personnel, a mismatch between expected and actual requirements may emerge during future stability operations. (p. 103)

46. The next editions of FM 4-0 (*Sustainment*) and FM 4-02 (*Force Health Protection in a Global Environment*) should include a discussion of the potential additional logistics and health support requirements to ensure adequate sustainment and health support planning for future SSSTR operations. (p. 103)
47. The Army needs to engage S/CRS to clarify and refine the COIN ETM task, as its current manifestation is likely to result in confusion. (p. 109)
48. A clearer articulation of the offensive military requirements within the ETM would help clarify and bound the expected extent of the military's involvement in a given SSSTR operation. (p. 109)

Field Manuals Referred to in Chapter Three

This appendix provides a reference list of field manuals and other doctrinal sources referred to in Chapter Three. Approved doctrine is readily available online. Draft doctrine is less easily accessible, but most of it can be found either through Army Knowledge Online (AKO) or in the Draft Publications section of the Joint Electronic Library. Both of these latter sites are password-protected.

Approved Doctrine¹

- FM 3-05.401 *Civil Affairs Tactics, Techniques, and Procedures* (September 2003).
- FMI 3-07 *Stability and Support Operations* (February 2003).
- FMI 3-07.22 *Counterinsurgency Operations* (October 2004).
- FMI 3-07.31 *PEACE OPS: Multi-Service Tactics, Techniques, and Procedures for Conducting Peace Operations* (October 2003).
- FM 3-11.21 *Multiservice Tactics, Techniques, and Procedures for Nuclear, Biological, and Chemical Aspects of Consequence Management* (December 2001).

¹ Approved Army doctrine can be found at the General Dennis J. Reimer Digital Library (RDL) online at <http://www.train.army.mil/>. Approved Joint doctrine can be found online at Joint Electronic Library, http://www.dtic.mil/doctrine/s_index.html.

- FM 3-19.1 *Military Police Operations* (January 2002).
- FM 3-19.4 *Military Police Leaders' Handbook* (August 2002).
- FM 3-19.12 *Protective Services* (August 2004).
- FM 3-19.15 *Civil Disturbance Operations* (April 2005).
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Draft Doctrine

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- FM 3-10 *Protection*, Initial Draft (October 2006).
- FM 3-19.1 *Military Police Operations*, Coordinating Draft (August 2006).
- FM 3.19-10 *Military Police Law and Order Operations*, Unedited Final Draft (August 2006).
- FM 3-23 *Peace Operations*, Future FM (TBD).
- FM 3-90.15 *TTP for Tactical Operations Involving Sensitive Sites*, Final Draft (March 2005).
- FMI 3-91 *Division Operations*, DRAG edition (February 2006).
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The S/CRS Essential Tasks Matrix

Appendix B provides RAND's complete taxonomy of the S/CRS Essential Tasks Matrix as well as additional details as to how it was derived. The taxonomy's hierarchy is illustrated in Figure B.1.

Two of the ETM's five technical sectors each have two subsectors.¹ These two technical sectors (Governance and Participation, Economic Stabilization and Infrastructure) have been divided into their subsectors in this list to maintain a consistent four-digit taxonomy at the essential task level. To maintain as much of the structure of the original S/CRS list these sub-technical sectors have been labeled as follows:

- 2A Governance
- 2B Participation
- 4A Economic Stabilization
- 4B Infrastructure

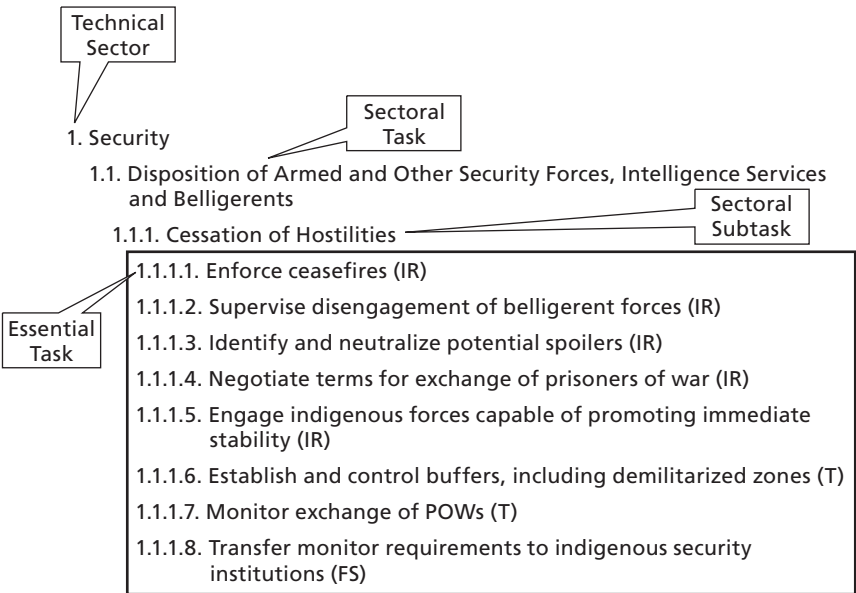
The ETM divides its essential tasks among the following three broad conceptual temporal categories:

- Initial Response (IR)
- Transformation (T)
- Fostering Sustainability (FS)

Each essential task in the taxonomy is followed by one of the above identifiers to signify its temporal phase in the original ETM. Essential tasks preceded by an (I) have infrastructure implications.

¹ U.S. Department of State (2005b).

Figure B.1
RAND S/CRS ETM Taxonomy Example



RAND MG646-B.1

RAND's Essential Tasks Matrix Taxonomy

- 1. Security
 - 1.1. Disposition of Armed and Other Security Forces, Intelligence Services and Belligerents
 - 1.1.1. Cessation of Hostilities
 - 1.1.1.1. Enforce ceasefires (IR)
 - 1.1.1.2. Supervise disengagement of belligerent forces (IR)
 - 1.1.1.3. Identify and neutralize potential spoilers (IR)
 - 1.1.1.4. Negotiate terms for exchange of prisoners of war (IR)

- 1.1.1.5. Engage indigenous forces capable of promoting immediate stability (IR)
- 1.1.1.6. Establish and control buffers, including demilitarized zones (T)
- 1.1.1.7. Monitor exchange of POWs [prisoners of war] (T)
- 1.1.1.8. Transfer monitor requirements to indigenous security institutions (FS)
- 1.1.2. Enforcement of Peace Agreements and/or Other Arrangements
 - 1.1.2.1. Provide security for negotiations among indigenous belligerents (IR)
 - 1.1.2.2. Develop confidence-building measures between indigenous belligerents (IR)
 - 1.1.2.3. Conduct counterinsurgency operations (IR)
 - 1.1.2.4. Investigate alleged breaches of agreements (T)
 - 1.1.2.5. Support and enforce political, military, and economic terms arrangements (T)
 - 1.1.2.6. Support confidence-building measures amongst belligerents (T)
 - 1.1.2.7. Transfer enforcement requirements to indigenous authorities (FS)
 - 1.1.2.8. Support and sustain confidence-building measures (FS)
- 1.1.3. Disposition and Constitution of National Armed Services
 - 1.1.3.1. Implement plan for disposition of indigenous armed forces and other national security institutions (IR)
 - 1.1.3.2. Identify future roles, missions and structure (IR)
 - 1.1.3.3. Vet senior officers and other individuals for past abuses (IR)

- 1.1.3.4. Coordinate and integrate with DDR plans (IR)
- 1.1.3.5. Train and equip indigenous military forces (T)
- 1.1.3.6. Establish transparent entry, promotion, and retirement systems (T)
- 1.1.3.7. Establish programs to support civilian oversight of military (T)
- 1.1.3.8. Provide conventional military assistance programs (FS)
- 1.1.3.9. Establish military-to-military programs with the host country's forces (FS)
- 1.1.3.10. Sustain international support (FS)
- 1.1.4. Disarmament
 - 1.1.4.1. Negotiate arrangements with belligerents (IR)
 - 1.1.4.2. Establish and enforce weapons control regimes, including collection and destruction (IR)
 - 1.1.4.3. Identify international arms dealers (IR)
 - 1.1.4.4. Provide reassurances and incentives for disarmed faction (IR)
 - 1.1.4.5. Establish monitoring regime (IR)
 - 1.1.4.6. Disarm belligerents (T)
 - 1.1.4.7. Reduce availability of unauthorized weapons (T)
 - 1.1.4.8. Collaborate with neighboring countries on weapons flows, including apprehension of illegal arms dealers (T)
 - 1.1.4.9. Cooperate with legal authorities to prosecute arms dealers (T)
 - 1.1.4.10. (I) Secure, store, and dispose of weapons (FS)
 - 1.1.4.11. Develop indigenous arms control capacity (FS)

- 1.1.5. Demobilization
 - 1.1.5.1. (I) Establish demobilization camps (IR)
 - 1.1.5.2. Ensure adequate health, food provisions, and security for belligerents (IR)
 - 1.1.5.3. Identify, gather and disband structural elements of belligerent groups (T)
 - 1.1.5.4. Monitor and verify demobilization (T)
 - 1.1.5.5. Ensure safety of quartered personnel and families (T)
 - 1.1.5.6. (I) Decommission camps (FS)
- 1.1.6. Reintegration of Combatants²
 - 1.1.6.1. Design reintegration strategy, including assessment of absorptive capacity of economic and social sectors (IR)
 - 1.1.6.2. Provide jobs, pensions or other material support for demobilized forces (IR)
 - 1.1.6.3. Coordinate with overall political and economic recovery plans (IR)
 - 1.1.6.4. Provide job training, health screening, education, and employment assistance for demobilized forces (T)
 - 1.1.6.5. Reintegrate ex-combatants into society (FS)
 - 1.1.6.6. Provide follow-up services for reintegration (FS)
- 1.1.7. Disposition and Constitution of National Intelligence Service(s)
 - 1.1.7.1. Implement plan for disposition of indigenous intelligence services and other national security institutions (IR)
 - 1.1.7.2. Identify future roles, missions and structure (IR)
 - 1.1.7.3. Vet individuals for past abuses and activities (IR)

² See Economic Stabilization: Employment Generation (4A.1).

- 1.1.7.4. Coordinate and integrate with DDR plans (IR)
- 1.1.7.5. Assist in and monitor the rebuilding and reorganization of official national security institutions (T)
- 1.1.7.6. Promote civilian control (T)
- 1.1.7.7. Establish transparent entry, promotion, and retirement systems (T)
- 1.1.7.8. Establish service-to-service programs with the host country's services (FS)

1.2. Territorial Security

1.2.1. Border and Boundary Control

- 1.2.1.1. (I) Establish border security, including customs regime to prevent arms smuggling, interdict contraband (i.e., drugs and natural resources), prevent trafficking of persons, regulate immigration and emigration, and establish control over major points of entry (IR)
- 1.2.1.2. Train and equip border security personnel (T)
- 1.2.1.3. Begin transfer of border, port and airport control to indigenous actors (FS)
- 1.2.1.4. Ensure air and naval freedom of movement (FS)

1.2.2. Freedom of Movement

- 1.2.2.1. Establish and disseminate rules relevant to movement (IR)
- 1.2.2.2. Facilitate internal travel of key leaders (IR)
- 1.2.2.3. (I) Dismantle roadblocks and establish checkpoints (IR)
- 1.2.2.4. Regulate air and overland movement (IR)
- 1.2.2.5. Ensure freedom of movement (IR)

- 1.2.2.6. Develop indigenous capacity to assure and regulate movement (T)
- 1.2.2.7. Provide full freedom of movement (FS)
- 1.2.2.8. Transfer responsibility to indigenous actors (FS)
- 1.2.3. Identification Issues
 - 1.2.3.1. Establish identification regime including securing documents relating to personal identification, property ownership, court records, voter registries, birth certificates and driving licenses (IR)
 - 1.2.3.2. Develop mechanisms for dealing with long term disputes relating to property ownership, court records, etc. (T)
- 1.3. Public Order and Safety
 - 1.3.1. Protection of Non-Combatants³
 - 1.3.1.1. Protect vulnerable elements of population (refugees, IDP, women, children) (IR)
 - 1.3.1.2. Ensure humanitarian aid and security force access to endangered populations and refugee camps (IR)
 - 1.3.1.3. Establish and maintain order in refugee camps and population centers (T)
 - 1.3.1.4. Provide interim security programs for at-risk populations (T)
 - 1.3.2. Interim Policing
 - 1.3.2.1. Perform civilian police functions including investigating crimes and making arrests (IR)
 - 1.3.2.2. Supervise incarceration processes and transfer to prison facilities (IR)
 - 1.3.2.3. Maintain positive relations with indigenous population (T)

³ See Security: Protection of Indigenous Institutions (1.4).

- 1.3.2.4. Mentor indigenous police forces (T)
 - 1.3.2.5. Transfer public security responsibilities to indigenous police force (FS)
 - 1.3.3. Controlling Crowds and Disturbances Control
 - 1.3.3.1. Control crowds, prevent looting and manage civil disturbances (IR)
 - 1.3.3.2. Conduct special police operations requiring formed units, including investigations and arrests (IR)
 - 1.3.3.3. Maintain positive relations with indigenous populations (T)
 - 1.3.3.4. Transfer public security responsibilities to indigenous police force (FS)
 - 1.3.4. Clearance of UXO⁴
 - 1.3.4.1. Conduct emergency de-mining and UXO removal (IR)
 - 1.3.4.2. Conduct mapping and survey exercises of mined areas (IR)
 - 1.3.4.3. Mark mine fields (IR)
 - 1.3.4.4. Identify and coordinate emergency requirements (IR)
 - 1.3.4.5. Establish priorities and conduct de-mining operations (IR)
 - 1.3.4.6. Initiate large-scale de-mining and UXO removal operations (T)
 - 1.3.4.7. Promote mine awareness (T)
 - 1.3.4.8. Train and equip indigenous de-mining elements (T)
 - 1.3.4.9. Transfer de-mining and UXO removal operations to indigenous actors (FS)
- 1.4. Protection of Indigenous Individuals, Infrastructure and Institutions
 - 1.4.1. Private Institutions and Key Leaders

⁴ See Humanitarian and Social Well-Being: Humanitarian Demining (3.5).

- 1.4.1.1. Protect key political and societal leaders (IR)
- 1.4.1.2. (I) Protect and secure places of religious worship and cultural sites (IR)
- 1.4.1.3. (I) Protect private property and factories (IR)
- 1.4.1.4. Create indigenous capacity to protect private institutions and key leaders (T)
- 1.4.2. Critical Facilities
 - 1.4.2.1. (I) Protect and secure critical infrastructure, natural resources, civil registries, property ownership documents (IR)
 - 1.4.2.2. (I) Secure records, storage, equipment and funds related to criminal justice and security institutions (IR)
 - 1.4.2.3. Create indigenous capacity to protect critical infrastructure (T)
- 1.4.3. Military Facilities
 - 1.4.3.1. (I) Identify, secure and protect stockpiles of conventional, nuclear, biological, radiological and chemical materials (IR)
 - 1.4.3.2. (I) Secure military depots, equipment, ammunition dumps and means of communication (IR)
 - 1.4.3.3. Create indigenous capacity to protect military infrastructure (T)
 - 1.4.3.4. Identify modernization needs and means to achieve them (FS)
- 1.4.4. Public Institutions
 - 1.4.4.1. (I) Protect and secure strategically important institutions (e.g., government buildings, museums, religious sites, courthouses, communications, etc.) (IR)
 - 1.4.4.2. Create indigenous capacity to protect public institutions (T)

- 1.4.5. Witness and Evidence Protection
 - 1.4.5.1. Locate and safeguard key witnesses, documents and other evidence related to key ongoing or potential U.S. investigations and prosecutions (IR)
- 1.5. Protection of Reconstruction and Stabilization Personnel and Institutions
 - 1.5.1. Official Civilian Stabilization and Reconstruction Personnel and Facilities
 - 1.5.1.1. (I) Protect government-sponsored civilian stabilization and reconstruction personnel (IR)
 - 1.5.1.2. Provide logistical support to sustain them in the field (IR)
 - 1.5.1.3. Create indigenous capacity to protect government-sponsored civilian stabilization and reconstruction personnel (T)
 - 1.5.2. Contractor and NGO Stabilization and Reconstruction Personnel and Facilities
 - 1.5.2.1. Protect contractor and NGO stabilization personnel and resources (IR)
 - 1.5.2.2. Provide logistical support (IR)
 - 1.5.2.3. Create indigenous capacity to protect contractor and NGO stabilization personnel and resources (T)
- 1.6. Security Coordination
 - 1.6.1. International Security Forces
 - 1.6.1.1. Develop integrated command, control and intelligence (C2I) and information sharing arrangements between international military, constabulary and civilian police forces (IR)
 - 1.6.1.2. Determine rules of engagement; clearly define roles and responsibilities, including custody/transfer of detainees (IR)

- 1.6.2. Intelligence Support
 - 1.6.2.1. Provide integrated intelligence support for international military, constabulary and civilian police forces (IR)
- 1.6.3. Coordination with Indigenous Security Forces
 - 1.6.3.1. Develop coordinated C2I arrangements between international and indigenous security forces (IR)
- 1.6.4. International Civilian-Military Coordination
 - 1.6.4.1. Develop coordinated military and civilian C2I and information sharing arrangements (IR)
- 1.6.5. Regional Security Arrangements
 - 1.6.5.1. Negotiate or modify regional security arrangements with all interested parties (IR)
 - 1.6.5.2. Negotiate the enhancement of cross border controls and security (IR)
 - 1.6.5.3. Consult with neighboring countries on border security plans (IR)
 - 1.6.5.4. Establish mechanisms for implementing regional security arrangements (T)
 - 1.6.5.5. Monitor compliance with and reinforce arrangements (FS)
- 1.7. Public Information and Communication
 - 1.7.1. Disseminate Security Information
 - 1.7.1.1. Identify or establish outlets for international, national, and local news media (IR)
 - 1.7.1.2. Utilize media as public information tool to provide factual information and control rumors (IR)
 - 1.7.1.3. Issue effective press releases and timely provision of information services as needed in local languages (IR)

- 1.7.1.4. Assist National Transitional Administration and/or National Government to inform public regularly (IR)
- 1.7.1.5. Invest in the development of indigenous capacity (T)
- 1.7.1.6. Train journalists, expand capacity of outlets, and improve interaction with local population and linkages with the international community (T)

2A. Governance

2A.1. National Constituting Processes

2A.1.1. National Dialogue

- 2A.1.1.1. Establish process at national, regional, and/or local levels to represent views of citizenry, consider political pressures and interests (IR)
- 2A.1.1.2. Encourage dialogue at national level to define national identity (citizenship criteria, languages, etc.) (T)
- 2A.1.1.3. Support requirements generated by national dialogue to establish and reinforce a legitimate state (FS)

2A.1.2. Constitution⁵

- 2A.1.2.1. Work with indigenous actors to establish constitutional commission and determine method of adoption (IR)
- 2A.1.2.2. Provide technical and legal advisors with expertise on key issues in constitutional process (regional, ethnic, and religious; division of powers) (IR)
- 2A.1.2.3. Foster fair, inclusive process for drafting or reform of constitution (T)

⁵ See Justice and Reconciliation: Legal System Reform (5.5).

2A.1.2.4. Launch public information campaign to promulgate new/revised constitution (T)

2A.1.2.5. Ensure adoption of constitution with amendment mechanism (FS)

2A.1.2.6. Create outlet for popular discussion of impact of new constitution (FS)

2A.2. Transitional Governance

2A.2.1. International Transitional Administration

2A.2.1.1. Determine need for international transitional administration (IR)

2A.2.1.2. Establish transitional political authority and interim civil administration, placing advisors into key Ministries and local governments (IR)

2A.2.1.3. Vet indigenous officials and reconstitute leadership at multiple levels of government (IR)

2A.2.1.4. (I) Deliver administrative support systems (IR)

2A.2.1.5. Consult with indigenous leaders in designing future governance system (T)

2A.2.1.6. Devolve certain functions to indigenous authorities, building indigenous capacities (T)

2A.2.1.7. Transfer power to indigenous government through elections or other means (e.g., establishment of international/multinational governing body, hand-over to a transitional authority, restitution of duly elected officials) (FS)

2A.2.2. National Transitional Administration

2A.2.2.1. Establish rules and realistic timetable for interim national government (IR)

- 2A.2.2.2. Work with indigenous leaders to recruit individuals to serve on and advise the national transitional government (IR)
- 2A.2.2.3. Establish process for passing and amending interim laws and regulations (IR)
- 2A.2.2.4. Prepare for transition to permanent national government(T)
- 2A.2.2.5. Phase out transitional government in favor of permanent national government through previously decided means (FS)
- 2A.3. Executive Authority
 - 2A.3.1. Executive Mandate and Structure
 - 2A.3.1.1. Prioritize government functions (IR)
 - 2A.3.1.2. Identify unmet institutional needs (IR)
 - 2A.3.1.3. Determine structure and affordable size of civil service to meet immediate and future needs (IR)
 - 2A.3.1.4. Reform or establish ministries and independent agencies, including specifying organization, lines of authority, and mission objectives (T)
 - 2A.3.1.5. Provide ongoing technical and financial support for institutional development of the public sector (FS)
 - 2A.3.1.6. Implement civil service reforms (FS)
 - 2A.3.2. Civil Service Staffing
 - 2A.3.2.1. Develop transparent process to vet executive officials, civil servants and employees of state owned enterprises and to identify individuals to receive training (IR)
 - 2A.3.2.2. Encourage members of the diaspora with leadership skills to return to country (IR)
 - 2A.3.2.3. Review skills of executive officials, civil servants, and employees of state owned enterprises (T)

- 2A.3.2.4. Provide management, technical assistance and training (T)
- 2A.3.2.5. Move towards merit selection of new hires (FS)
- 2A.3.2.6. Build indigenous capacity for ongoing professional development (FS)
- 2A.3.2.7. Appoint and empower state employees at national and regional levels (FS)
- 2A.3.3. Revenue Generation and Management⁶
 - 2A.3.3.1. Assess mechanism for generating and managing revenue at different levels of government (IR)
 - 2A.3.3.2. Establish anti-corruption measures for sources prone to misuse, especially extractive industries and state-owned enterprises (IR)
 - 2A.3.3.3. Coordinate resources across levels of government (IR)
 - 2A.3.3.4. Implement plans for revenue generation, management and collection, banking, customs, taxation, and financial services (T)
 - 2A.3.3.5. Create capacities to manage budget and personnel issues (T)
 - 2A.3.3.6. Develop plan to manage revenues from extractive industries (T)
 - 2A.3.3.7. Provide ongoing technical and financial support to ensure transparent and non-corrupt revenue generation (FS)
- 2A.3.4. Government Resources and Facilities⁷
 - 2A.3.4.1. (I) Establish basic facilities to enable National Transitional Infrastructure Administration to function (IR)

⁶ See Economic Stabilization: Legal and Regulatory Reform (4A.9).

⁷ See Infrastructure: General Infrastructure (4B.4).

2A.3.4.2. (I) Improve physical infrastructure of executive branch (i.e., buildings, libraries, information systems, and office equipment) (T)

2A.3.4.3. (I) Establish line-items in budget to sustain physical infrastructure of executive branch (FS)

2A.4. Legislative Strengthening

2A.4.1. Mandate

2A.4.1.1. Establish interim legislative process (IR)

2A.4.1.2. Establish authority of legislative branch to participate in national policy-making process and provide oversight of executive authority (IR)

2A.4.1.3. Support development of legislature's role in political system, in conflict resolution and national reconciliation processes (T)

2A.4.1.4. Develop legislative process and procedures (T)

2A.4.1.5. Encourage deliberative processes, coalition building, negotiation and compromise (T)

2A.4.1.6. Develop mechanisms to facilitate working relations and resolve disputes between various branches and levels of government (FS)

2A.4.1.7. Strengthen legislative oversight (FS)

2A.4.2. Citizen Access

2A.4.2.1. Identify legal, institutional, and political obstacles affecting citizens' input to legislative process (IR)

2A.4.2.2. Promote citizen access and media coverage of the legislative process (T)

- 2A.4.2.3. Improve communication and interactions between legislators and their constituents (T)
- 2A.4.2.4. Guarantee public right to attend meetings, hearings, and examine records (e.g., through freedom of information acts, open-meeting rules, etc.) (FS)
- 2A.4.3. Staffing and Training
 - 2A.4.3.1. Provide training and support for provisional lawmakers (IR)
 - 2A.4.3.2. Implement training for permanent legislative officials and staff (i.e., lawmaking, representation, oversight, budget, and conflict resolution functions of legislature) (T)
 - 2A.4.3.3. Institutionalize training of legislators and staff and civic education (FS)
 - 2A.4.3.4. Establish programs to assure ongoing supply of skilled legislative staff (FS)
- 2A.4.4. Resources and Facilities⁸
 - 2A.4.4.1. Assure the initial lawmaking process is adequately resourced (IR)
 - 2A.4.4.2. Assure adequate resources for transition to a permanent lawmaking body (T)
 - 2A.4.4.3. Establish adequate administrative capacity (T)
 - 2A.4.4.4. (I) Improve physical infrastructure (i.e., buildings, libraries, information systems, office equipment) (T)
 - 2A.4.4.5. Expand administrative systems to foster monitoring and evaluation capabilities for effectiveness (FS)
 - 2A.4.4.6. (I) Maintain physical infrastructure and information systems (FS)

⁸ See Infrastructure: General Infrastructure (4B.4).

2A.5. Local Governance

2A.5.1. Local Governance Mandate

- 2A.5.1.1. Restore essential local public services (IR)
- 2A.5.1.2. Establish mechanisms for local level participation, taking into account history and culture (IR)
- 2A.5.1.3. Establish temporary liaison process between national and local governing institutions (IR)
- 2A.5.1.4. Determine whether decentralization is appropriate, and if so, its scale and form (T)
- 2A.5.1.5. Avoid unnecessary conflict with traditional structures (T)
- 2A.5.1.6. Provide for local participation in decision-making and for budgetary transparency and oversight (FS)
- 2A.5.1.7. Match revenues with responsibilities (FS)
- 2A.5.1.8. Institutionalize liaison process between national and local governing structures (FS)

2A.5.2. Staffing and Training

- 2A.5.2.1. Develop transparent process to vet local officials and civil servants (IR)
- 2A.5.2.2. Initiate local service delivery training and support (IR)
- 2A.5.2.3. Initiate local level strategic planning (T)
- 2A.5.2.4. Devise training for officials and staff
Establish performance-based civil service system (T)
- 2A.5.2.5. Institutionalize training of service delivery, local government, and civil society representatives (FS)

- 2A.5.2.6. Regularize procedures and standards for staffing (FS)
- 2A.5.3. Services, Resources and Facilities⁹
 - 2A.5.3.1. Assure resources for personnel, supplies, and equipment to deliver essential local services (IR)
 - 2A.5.3.2. (I) Identify, rehabilitate, secure, and maintain basic facilities to enable delivery of essential local services (IR)
 - 2A.5.3.3. Create knowledge base and political consensus for rational fiscal policy (T)
 - 2A.5.3.4. Match revenues with responsibilities (T)
 - 2A.5.3.5. (I) Do strategic planning and develop capital improvement budgets for local infrastructure (T)
 - 2A.5.3.6. (I) Seek consensus on local role in national level infrastructure planning that affects localities (T)
 - 2A.5.3.7. Institutionalize monitoring and evaluation capabilities (FS)
 - 2A.5.3.8. Fine tune revenue and disbursement assignments (FS)
 - 2A.5.3.9. Ensure access by local governments to market-disciplined national sources of financing (FS)
- 2A.6. Transparency and Anti-Corruption
 - 2A.6.1. Anti-Corruption¹⁰
 - 2A.6.1.1. Provide legal advisors and consultants (IR)
 - 2A.6.1.2. Create mechanisms to curtail corruption across government institutions (IR)
 - 2A.6.1.3. Design and implement anti-corruption campaign, including education (IR)

⁹ See Infrastructure: General Infrastructure (4B.4).

¹⁰ See Economic Stabilization: Legal and Regulatory Reform (4A.9).

- 2A.6.1.4. Mainstream anti-corruption efforts into other programs (IR)
- 2A.6.1.5. Develop agreement and mechanisms for dealing with past abuses (IR)
- 2A.6.1.6. Seek international cooperation to combat corruption (IR)
- 2A.6.1.7. Develop laws and administrative procedures promoting accountability and transparency across government institutions and in the private sector (T)
- 2A.6.1.8. Identify and dismantle organized crime networks (T)
- 2A.6.1.9. Empower legal and civil society mechanisms to monitor governmental behavior (T)
- 2A.6.1.10. Foster transparent governing practices in public and private sectors (T)
- 2A.6.1.11. Enforce anti-corruption laws, including removal of corrupt officials (FS)
- 2A.6.1.12. Prosecute violators and enforce standards (FS)
- 2A.6.2. Oversight
 - 2A.6.2.1. Encourage formation of watchdog organizations in public and private sectors to monitor international and national institutions (IR)
 - 2A.6.2.2. Establish legislative protections for indigenous watchdog groups (T)
 - 2A.6.2.3. Ensure adequate resources and standing for oversight mechanisms (T)
 - 2A.6.2.4. Promote indigenous transparency monitoring presence in public and private sectors (FS)

2B.Participation

2B.1. Elections

2B.1.1. Elections Planning and Execution

- 2B.1.1.1. Set realistic timetable, goals, and budget for elections (IR)
- 2B.1.1.2. Facilitate indigenous decision on the mode of representation and sequence of elections (national/local) (IR)
- 2B.1.1.3. Determine identification requirements for registration/voting
- 2B.1.1.4. Establish independent national electoral commission (IR)
- 2B.1.1.5. Establish or verify voter registry (IR)
- 2B.1.1.6. Assist national electoral commission in developing appropriate laws, procedures, and rules for election, including security of candidates and ballot box, and in promulgating rules of election (T)
- 2B.1.1.7. Ensure secure and fair election campaign (T)
- 2B.1.1.8. (I) Provide logistical support for elections (ballot boxes, voting stations, etc.) if required (FS)
- 2B.1.1.9. Assist national electoral commission in planning and execution of election (FS)
- 2B.1.1.10. Promote sustainable election methods and mechanisms (FS)

2B.1.2. Elections Monitoring

- 2B.1.2.1. Secure agreements for international and domestic monitoring presence (IR)
- 2B.1.2.2. Recruit and organize indigenous and international election monitoring teams (T)
- 2B.1.2.3. Deploy monitoring teams (FS)
- 2B.1.2.4. Support development of domestic monitoring and watch dog groups (FS)

2B.1.3. Elections Outreach

- 2B.1.3.1. Enable electoral commission to publicize election timetable and encourage citizen participation (IR)
- 2B.1.3.2. Gauge public opinion through polling (IR)
- 2B.1.3.3. Disseminate information about electoral process (T)
- 2B.1.3.4. Undertake voter education campaign (T)
- 2B.1.3.5. Make election results widely available to avoid fraud and misperception (FS)
- 2B.1.3.6. Institutionalize process for investigation and redress of allegations of electoral malfeasance (FS)

2B.2. Political Parties

2B.2.1. Party Formation

- 2B.2.1.1. Support political competition (IR)
- 2B.2.1.2. Ensure clear legal status, protections, and regulations of political parties (IR)
- 2B.2.1.3. Encourage creation of multiple parties (T)
- 2B.2.1.4. Require transparent and legal funding mechanisms (T)
- 2B.2.1.5. Oversee registration of political parties in accordance with election laws (T)
- 2B.2.1.6. Establish political party code of conduct, including the renunciation of violence and respect for human rights and fundamental freedoms (T)
- 2B.2.1.7. Support political activities by backing democracy promotion objectives (FS)
- 2B.2.1.8. Link parties to legitimate international counterparts (FS)

2B.2.2. Party Training

- 2B.2.2.1. Identify and assess capabilities of potential political party leaders and structures (IR)
- 2B.2.2.2. Sponsor workshops and provide assistance to develop political parties (i.e., constituency outreach, issue analysis, platform development, media relations, fundraising, voter mobilization, campaign strategy, mediation and conflict resolution (T)
- 2B.2.2.3. Facilitate democracy, governance, management, and negotiation skills training for elected representatives and party leaders (FS)
- 2B.2.2.4. Develop leadership skills and encourage candidacies of women and marginalized groups (FS)

2B.3. Civil Society and Media

2B.3.1. Civil Society Environment

- 2B.3.1.1. Review existing regulations on NGOs and civil society actors (IR)
- 2B.3.1.2. Identify and assess civil society actors, their roles in the conflict, membership and capacity (IR)
- 2B.3.1.3. Draft or alter statutes establishing legal rights and restrictions of NGOs (T)
- 2B.3.1.4. Educate public officials and the public about the role of civil society (T)
- 2B.3.1.5. Encourage enforcement of NGO-related laws (FS)

2B.3.2. Civic Education

- 2B.3.2.1. Establish civic education and public education campaigns to raise awareness and understanding of new political structure,

- human rights, tolerance and other issues (IR)
- 2B.3.2.2. Institutionalize civic education into the formal school system (FS)
- 2B.3.3. Strengthening Capacity and Partnerships
 - 2B.3.3.1. Provide support to civil society to deliver services, promote democracy and tolerance, and give voice to concerns of vulnerable populations (IR)
 - 2B.3.3.2. Encourage inter-group partnerships and community building functions at the local level (IR)
 - 2B.3.3.3. Link these efforts to national governance initiatives (IR)
 - 2B.3.3.4. Provide funding, technical assistance, and training on communication skills, transparency, advocacy, tolerance, conflict resolution and capacity building to civil society groups (T)
 - 2B.3.3.5. Develop indigenous capacity to advise, fund, and train new indigenous groups (FS)
 - 2B.3.3.6. Create and strengthen umbrella organizations of NGOs to represent civil society views to the government (FS)
- 2B.3.4. Professionalism and Ethics
 - 2B.3.4.1. Institute short-term training for journalists, editors, government spokespersons, and other media professionals (IR)
 - 2B.3.4.2. Upgrade university journalism dept (T)
 - 2B.3.4.3. Create journalism programs and internships with universities (T)
 - 2B.3.4.4. Develop mid-career media training institutions (T)
 - 2B.3.4.5. Add special training for conflict situations to core curricula (T)

- 2B.3.4.6. Improve administration of training institutions (FS)
- 2B.3.4.7. Promote free-functioning Media through less dependence on donor or government financial support (FS)
- 2B.3.5. Media Business Development
 - 2B.3.5.1. Train media managers, advertising department staff, and business consultants (IR)
 - 2B.3.5.2. Provide small grants and low interest loans for start-ups and/or rebuilding (IR)
 - 2B.3.5.3. Develop in-country business training and consulting capacity (T)
 - 2B.3.5.4. Enhance know-how of local businesses on how to use media ads effectively (T)
 - 2B.3.5.5. Improve quality of audience research (T)
 - 2B.3.5.6. Develop viable media/ad markets (FS)
 - 2B.3.5.7. Assure even playing field by privatizing state media or converting them to public service media (FS)
- 2B.3.6. Media Environment
 - 2B.3.6.1. Develop regulatory environment for use of access to the media (IR)
 - 2B.3.6.2. Ensure appropriate balance between government and independent media (IR)
 - 2B.3.6.3. Support monitoring of media rights violations as well as of inflammatory or unprofessional media contents (IR)
 - 2B.3.6.4. Provide media law training to lawyers, jurists, and media personnel (T)
 - 2B.3.6.5. Build media rights advocacy groups (T)
 - 2B.3.6.6. Pass and then enforce laws protecting the rights of the media (T)

- 2B.3.6.7. Raise general citizen awareness of importance of independent media (FS)
- 2B.4. Public Information and Communications
 - 2B.4.1. Disseminate Governance Information
 - 2B.4.1.1. Identify or establish outlets for international, national, and local news media (IR)
 - 2B.4.1.2. Utilize media as public information tool to provide factual information and control rumors (IR)
 - 2B.4.1.3. Issue effective press releases and timely provision of information services as needed in local languages (IR)
 - 2B.4.1.4. Assist National Transitional Administration and/or National Government to inform public regularly (IR)
 - 2B.4.1.5. Invest in the development of indigenous capacity (T)
 - 2B.4.1.6. Train journalists, expand capacity of outlets and improve interaction with local population and linkages with the international community (T)
- 3. Humanitarian Assistance and Social Well-Being
 - 3.1. Refugees and Internally Displaced Persons (IDPs)
 - 3.1.1. Prevention of Population Displacements
 - 3.1.1.1. Ensure humanitarian access to populations in need (IR)
 - 3.1.1.2. Assess total food needs for affected populations (IR)
 - 3.1.1.3. Determine the reliability of local market channels; assess availability of local supplies to meet needs (IR)
 - 3.1.1.4. Be aware of local crop cycles so that local supplies can be used to feed populations and to ensure that food aid deliveries do

- not interfere with local purchases and markets (IR)
- 3.1.1.5. (I) Assess the adequacy of local physical transport, distribution and storage facilities (IR)
- 3.1.1.6. Estimate food aid needs for affected populations (IR)
- 3.1.1.7. Assess personnel requirements to facilitate the provision of humanitarian needs (IR)
- 3.1.1.8. Provide emergency food, water, sanitation, shelter, and medicine (IR)
- 3.1.1.9. (I) Maintain freedom of movement and ensure borders are open to potential refugees (IR)
- 3.1.1.10. Coordinate with other donors and humanitarian agencies (IR)
- 3.1.1.11. (I) Continue to ensure reliable and adequate supply of assistance to population centers; maintain essential services (water, health, education) (T)
- 3.1.1.12. Develop and provide economic opportunities and services to support permanent populations (FS)
- 3.1.2. Refugee Assistance
 - 3.1.2.1. Urge asylum countries to keep borders open to refugees (IR)
 - 3.1.2.2. Establish registration and screening mechanisms (IR)
 - 3.1.2.3. Assess total food needs for affected populations (IR)
 - 3.1.2.4. Determine the reliability of local market channels; assess availability of local supplies to meet needs (IR)
 - 3.1.2.5. Be aware of local crop cycles so that local supplies could be used to feed popula-

- tions and to ensure that food aid deliveries do not interfere with local purchases and markets (IR)
- 3.1.2.6. (I) Assess the adequacy of local physical transport, distribution and storage facilities (IR)
- 3.1.2.7. Assess personnel requirements to facilitate the provision of humanitarian needs (IR)
- 3.1.2.8. Estimate food aid needs for refugee (IR)
- 3.1.2.9. (I) Provide humanitarian assistance including emergency food, water, sanitation, shelter, and medicine. Pay special attention to the needs of vulnerable groups, including women, children and the elderly (IR)
- 3.1.2.10. (I) Maintain freedom of movement and ensure borders are open to potential refugees (IR)
- 3.1.2.11. Coordinate with other donors and humanitarian agencies (IR)
- 3.1.2.12. (I) Where no other options exist, establish camps that recognize physical, economic, social, and security considerations (IR)
- 3.1.2.13. Implement information campaign to keep refugees informed (IR)
- 3.1.2.14. Ensure adequate protection and monitoring in the countries of origin and asylum (IR)
- 3.1.2.15. Continue to provide humanitarian assistance as necessary(T)
- 3.1.2.16. Expand basic services to include education, health education, and, if appropriate, psycho-social programs (T)
- 3.1.2.17. Create employment programs (T)

- 3.1.2.18. (I) Support construction of longer-term housing if appropriate (T)
- 3.1.2.19. Extend assistance to refugee hosting communities (T)
- 3.1.2.20. Begin to explore possible durable solutions (T)
- 3.1.2.21. Develop repatriation plans (T)
- 3.1.2.22. Continue information campaign (T)
- 3.1.2.23. Link activities to Sphere Project guidelines (T)
- 3.1.2.24. Assist with resettlement of refugees who may be endangered by landmines in the course of their return to their homes (T)
- 3.1.2.25. When conditions are right, assist in voluntary repatriation, local-settlement and/or resettlement of refugees (FS)
- 3.1.2.26. Facilitate and monitor reintegration in country of origin; begin to reduce programs in countries of asylum (FS)
- 3.1.3. Internally Displaced Persons (IDPs) Assistance
 - 3.1.3.1. Ensure freedom of movement to the greatest extent possible (IR)
 - 3.1.3.2. Establish registration and monitoring mechanisms (IR)
 - 3.1.3.3. Promote traditional coping mechanisms (e.g., homestays) (IR)
 - 3.1.3.4. Provide assistance to families and communities hosting IDPs (IR)
 - 3.1.3.5. (I) Establish IDP camps if necessary and provide basic humanitarian assistance (IR)
 - 3.1.3.6. Assess total food needs for affected populations (IR)

- 3.1.3.7. Determine the reliability of local market channels; assess availability of local supplies to meet needs (IR)
- 3.1.3.8. Ensure that food aid deliveries do not interfere with local production and markets (IR)
- 3.1.3.9. Track local crop cycles and to the extent feasible, produce food supplies locally (IR)
- 3.1.3.10. Assess the adequacy of local physical transport, distribution and storage facilities. Assess the desirability of contracting commercial facilities (IR)
- 3.1.3.11. Coordinate with other donors and humanitarian agencies (IR)
- 3.1.3.12. Assess personnel requirements to facilitate the provision of humanitarian needs (IR)
- 3.1.3.13. Establish public information campaign to inform IDPs (IR)
- 3.1.3.14. Continue provision of protection and assistance to IDPs in camps, homestays and communities (T)
- 3.1.3.15. (I) Ensure access to basic services, including education and health care (T)
- 3.1.3.16. Begin to explore long-term solutions including return and reintegration in places of origin or resettlement within the country (T)
- 3.1.3.17. Assist with resettlement of IDPs who may be endangered by landmines in the course of their return to their home (T)
- 3.1.3.18. When conditions are right, facilitate and assist return and reintegration of IDPs (FS)

- 3.1.3.19. Support local integration where appropriate (FS)
- 3.1.3.20. Monitor conditions for IDPs after their return (FS)
- 3.1.4. Refugee and IDP Camp Security
 - 3.1.4.1. Ensure adequate protection and monitoring (IR)
 - 3.1.4.2. Ensure humanitarian aid and security force access to endangered populations and refugee camps (IR)
 - 3.1.4.3. Establish and maintain order in refugee camps (T)
 - 3.1.4.4. Provide interim security measures for at-risk populations (T)
- 3.2. Trafficking in Persons
 - 3.2.1. Anti-Trafficking Strategy
 - 3.2.1.1. Assess levels of forms of trafficking in persons in region, sub-regions, and country (IR)
 - 3.2.1.2. Collect and analyze data to map trafficking levels and routes (IR)
 - 3.2.1.3. Establish benchmarks for measuring trafficking (IR)
 - 3.2.1.4. Analyze supply and demand factors to gain insight into economic forces that make trafficking attractive (IR)
 - 3.2.1.5. Document the extent of trafficking and sexual exploitation in refugee and conflict situations (IR)
 - 3.2.1.6. Develop multifaceted and integrated strategy based on prevention of trafficking, protection and assistance for victims, and prosecution of traffickers (IR)
 - 3.2.1.7. Develop programs that support and reinforce direct anti-trafficking activities (T)

- 3.2.1.8. Conduct community education about the risks and dangers of trafficking; conduct awareness campaigns to combat violence against women and promotion of women's rights (T)
- 3.2.1.9. Educate the private sector about trafficking for child labor (T)
- 3.2.1.10. Increase income-earning and vocational opportunities for the poor and vulnerable (T)
- 3.2.1.11. Increase educational opportunities for children and young women within targeted regions or communities where trafficking is prevalent (T)
- 3.2.2. Assistance for Victims
 - 3.2.2.1. Provide assistance to victims of trafficking including rescue, shelter, and access to psychological, legal and medical assistance (IR)
 - 3.2.2.2. Establish or support victim hotlines (IR)
 - 3.2.2.3. Support programs for victims of conflict-related trafficking, including refugees and IDPs (IR)
 - 3.2.2.4. Partner with non-governmental organizations and faith-based institutions that are fighting trafficking and assisting victims of prostitution, child labor, and all forms of slavery (IR)
 - 3.2.2.5. Increase access to the justice system (T)
 - 3.2.2.6. Support repatriation, counseling, social integration, education, and income generation for trafficking victims (T)
 - 3.2.2.7. Continue to support repatriation, counseling, social integration, education, and

- income generation for trafficking victims (FS)
- 3.2.2.8. Build the capacity of NGOs and faith-based institutions to combat trafficking (FS)
- 3.2.2.9. Link small NGOs fighting trafficking into networks (FS)
- 3.2.2.10. Forge linkages with and among programs that address different aspects of the trafficking process (FS)
- 3.2.3. Anti-Trafficking Legislation
 - 3.2.3.1. Assess political will to combat trafficking as evidenced by legislative reform and enforcement, prosecution of traffickers, and cooperation with NGOs, faith-based institutions, and governments to prosecute traffickers (IR)
 - 3.2.3.2. Promote development of anti-trafficking legislation and policies in source, transit, and destination countries through civil society, legislatures, national, regional and local governments, and judicial systems (T)
 - 3.2.3.3. Educate and train judges and prosecutors, law enforcement officials, community workers, youth, and information and formal educators in combating trafficking (T)
 - 3.2.3.4. Engage in policy dialogue with governments (T)
 - 3.2.3.5. Incorporate anti-trafficking into human rights activities (T)
 - 3.2.3.6. Incorporate anti-trafficking into anti-corruption efforts (T)
 - 3.2.3.7. Continue to promote anti-corruption efforts and legislative reform (FS)

3.2.3.8. Create enabling policy and legal environments that will facilitate efforts to eliminate trafficking (FS)

3.2.3.9. Promote local and national public awareness of the problem (FS)

3.3. Food Security

3.3.1. Famine Prevention

3.3.1.1. Monitor and analyze food security by conducting livelihood-based food security analyses (IR)

3.3.1.2. Disseminate early warning and food security analyses through production of targeted information products (IR)

3.3.1.3. Predict the effects of conflict on access to food (e.g., presence of refugees, price of food) (IR)

3.3.1.4. Assess serious challenges to response (IR)

3.3.1.5. Work with decision-makers to use the analyses to provide customized decision-maker support (T)

3.3.1.6. Develop local expertise and ownership through capacity building (T)

3.3.1.7. Assess policy implications on food availability and affect policy reform efforts if necessary (T)

3.3.2. Emergency Food Relief

3.3.2.1. Conduct rapid food and nutrition assessments with particular attention to: (i) market prices, channels and infrastructure; and (ii) local agricultural production of basic food stuffs, including the harvest cycle (IR)

3.3.2.2. Estimate total food needs (IR)

3.3.2.3. Coordinate with other donors and humanitarian agencies (IR)

- 3.3.2.4. (I) Assess the adequacy of local physical transport, distribution and storage facilities (IR)
- 3.3.2.5. Secure emergency food aid distribution channels (IR)
- 3.3.2.6. Deliver emergency food (including therapeutic feeding) to most vulnerable populations (IR)
- 3.3.2.7. (I) Supply adequate storage facilities to prevent food contamination (IR)
- 3.3.2.8. Collaborate with international and local relief actors to implement distribution programs (T)
- 3.3.2.9. Prevent and punish theft and misappropriation of food resources (T)
- 3.3.2.10. Re-assess distribution programs (T)
- 3.3.2.11. Channel food aid to promote indigenous market activities (T)
- 3.3.2.12. Phase out emergency relief distributions (FS)
- 3.3.2.13. Transition to traditional food aid programs (but not at the expense of domestic production) (FS)
- 3.3.3. Food Market Response
 - 3.3.3.1. Identify existing markets including market interferences, such as bottlenecks and failures (monopolies, cartels, policy interferences) (IR)
 - 3.3.3.2. Identify crop and harvest cycles and traditional trade patterns (IR)
 - 3.3.3.3. Conduct market surveys/assessments (IR)
 - 3.3.3.4. (I) Assess weather conditions, transportation networks, and storage facilities (IR)

- 3.3.3.5. (I) Establish transportation and distribution networks (T)
- 3.3.3.6. Ensure that food aid deliveries do not disturb local markets or create disincentives to local production (T)
- 3.3.3.7. To the extent possible, procure locally (T)
- 3.3.3.8. Assist Ministry of Trade to liberalize trade policies (T)
- 3.3.3.9. Continue to use government resources to promote public needs (FS)
- 3.3.3.10. Consider private-public investment partnerships (FS)
- 3.4. Shelter and Non-Food Relief
 - 3.4.1. Non-Food Relief Distribution
 - 3.4.1.1. Conduct rapid non-food needs assessments (IR)
 - 3.4.1.2. (I) Secure emergency non-food relief distribution channels (IR)
 - 3.4.1.3. Deliver emergency non-food items (plastic sheeting, sundries, blankets, etc.) to most vulnerable populations (IR)
 - 3.4.1.4. Protect non-food distribution network (IR)
 - 3.4.1.5. (I) Supply adequate storage facilities (IR)
 - 3.4.1.6. Collaborate with international and local relief actors to implement distribution programs (T)
 - 3.4.1.7. Prevent and punish theft and misappropriation of relief resources (T)
 - 3.4.1.8. Re-assess distribution programs (T)
 - 3.4.1.9. Channel aid to promote indigenous market activities (T)
 - 3.4.1.10. Phase out emergency relief distributions (FS)

3.4.2. Shelter Construction

- 3.4.2.1. (I) Provide emergency shelter for immediate needs (IR)
- 3.4.2.2. (I) Develop housing development strategy to address refugees/IDPs as well as reintegration of ex-combatants (IR)
- 3.4.2.3. (I) Link Cash-For-Work activities to jump-start affected economies (IR)
- 3.4.2.4. (I) Repair existing housing stock (T)
- 3.4.2.5. (I) Establish standards for housing construction and development using Sphere Project guidelines as appropriate (T)
- 3.4.2.6. (I) Clear devastated housing and assess damage (T)
- 3.4.2.7. (I) Provide transitional shelter that links relief and development concerns (T)
- 3.4.2.8. (I) Construct affordable housing (FS)

3.5. Humanitarian Demining

3.5.1. Mine Awareness

- 3.5.1.1. Teach people how to recognize, avoid, and inform demining authorities of the presences of land mines. Focus efforts on children and young males (IR)
- 3.5.1.2. Utilize a variety of materials and media to convey important messages (IR)
- 3.5.1.3. Be sensitive to the cultural mores of the population (e.g., have women train women in Muslim societies) (IR)

3.5.2. Mine Detection

- 3.5.2.1. Conduct a landmine impact survey to determine the nature and extent of the landmine problem: identify broad areas within the country where mines exist and estimate the extent of the problem (IR)
- 3.5.2.2. Demarcate mined areas (IR)

- 3.5.2.3. Note the number and types of mines found within the area (IR)
 - 3.5.3. Mine Clearance
 - 3.5.3.1. Employ a “train-the-trainer” approach to assist in clearing landmines. Train an initial team of host country personnel in mine clearance techniques, including medical evacuation procedures in the event of a demining accident (T)
 - 3.5.3.2. Leave mines in their location. Mark and destroy mines (T)
 - 3.5.3.3. Assess mine clearance operations through quality assurance processes (T)
 - 3.5.4. Survivor Assistance
 - 3.5.4.1. Treat initial injuries (IR)
 - 3.5.4.2. Develop survivor assistance strategy (IR)
 - 3.5.4.3. Assist with settlement and resettlement of refugees and IDPs who may be endangered by landmines in the course of flight from their homes and subsequent return (IR)
 - 3.5.4.4. Assess needs for prosthetic limbs in population (T)
 - 3.5.4.5. Address psycho-social needs of the victim and family resulting from landmine injuries (T)
 - 3.5.4.6. Provide long-term treatment and prosthetics to landmine survivors (FS)
- 3.6. Public Health
 - 3.6.1. Potable Water Management
 - 3.6.1.1. (I) Ensure proper quantity of drinking water (IR)
 - 3.6.1.2. (I) Evaluate water sources to meet needs and protect against contamination (T)

- 3.6.1.3. (I) Construct water treatment and distribution facilities (T)
- 3.6.1.4. (I) Build indigenous capacity to deliver clean drinking water, sanitation and manage wastewater (FS)
- 3.6.2. Sanitation and Waste Water Management
 - 3.6.2.1. (I) Ensure proper sanitization, purification and distribution of drinking water (IR)
 - 3.6.2.2. (I) Provide interim sanitation, wastewater and waste disposal services (IR)
 - 3.6.2.3. (I) Support indigenous waste and wastewater management capacity (T)
 - 3.6.2.4. (I) Develop geographic plan of action for waste and wastewater management (T)
 - 3.6.2.5. (I) Construct wastewater collection and treatment facilities (T)
 - 3.6.2.6. (I) Expand regular waste management activities to rural areas (FS)
- 3.6.3. Medical Capacity
 - 3.6.3.1. (I) Stockpile and distribute emergency medical supplies and drugs (IR)
 - 3.6.3.2. (I) Set up or re-open accessible clinics to deal with emergency health problems (e.g., disease, infection, wounds) (IR)
 - 3.6.3.3. (I) Ensure sufficient stockpile of medical equipment, supplies and drugs (T)
 - 3.6.3.4. Review status of medical resources (T)
 - 3.6.3.5. Establish ambulance service (T)
 - 3.6.3.6. Provide sufficient external medical support while integrating indigenous expertise (T)
 - 3.6.3.7. Modernize medical equipment and solidify public health sector (FS)

- 3.6.3.8. Build capacity for local administration of clinics; transfer administration of clinics to indigenous actors (FS)
- 3.6.4. Local Public Health Clinics
 - 3.6.4.1. (I) Evaluate need for new clinics (IR)
 - 3.6.4.2. (I) Repair and rebuild clinics (IR)
 - 3.6.4.3. (I) Open clinics (T)
 - 3.6.4.4. (I) Maintain and enlarge new or restored clinics (FS)
- 3.6.5. Hospital Facilities
 - 3.6.5.1. (I) Evaluate need for new hospitals (IR)
 - 3.6.5.2. (I) Repair and rebuild hospitals (IR)
 - 3.6.5.3. (I) Open hospitals (T)
 - 3.6.5.4. (I) Expand hospitals to provide specialized care for greater numbers (FS)
 - 3.6.5.5. (I) Maintain and enlarge new or restored hospitals (FS)
- 3.6.6. Human Resources Development for Health Care Workforce
 - 3.6.6.1. Recruit doctors, nurses, and staff and community health workers (IR)
 - 3.6.6.2. Train medical and public health care providers (T)
 - 3.6.6.3. Build capacity for local administration of clinics (FS)
 - 3.6.6.4. Transfer administration of clinics to indigenous actors (FS)
- 3.6.7. Health Policy and Financing
 - 3.6.7.1. Evaluate cost and efficiency of health care system to ensure basic health care needs are being met (IR)
 - 3.6.7.2. Develop strategy for the provision of effective health care to the greatest number of people, taking into account budget constraints (T)
- 3.6.8. Prevention of Epidemics

- 3.6.8.1. Prevent epidemics through immediate vaccinations (IR)
- 3.6.8.2. Establish vaccination and screening programs to deal with potential epidemics (especially in refugee camps) through local clinics (T)
- 3.6.8.3. Establish epidemiology and surveillance programs (T)
- 3.6.8.4. Institutionalize countrywide vaccination programs to prevent infectious disease (FS)
- 3.6.9. HIV/AIDS
 - 3.6.9.1. Assess HIV/AIDS prevalence especially in most vulnerable populations (e.g., IDPs, refugees, military, peacekeepers) (IR)
 - 3.6.9.2. Consider immediate preventative measures (IR)
 - 3.6.9.3. Develop HIV/AIDS programmatic response as necessary (T)
- 3.6.10. Nutrition
 - 3.6.10.1. Assess chronic and acute malnutrition (IR)
 - 3.6.10.2. Set up therapeutic feeding centers as necessary for most vulnerable children (e.g., under 5) (IR)
 - 3.6.10.3. Provide vitamin A supplements to mothers and children (IR)
 - 3.6.10.4. Continue general population assessment (T)
 - 3.6.10.5. Establish necessary nutrition programs (T)

3.6.11. Reproductive Health

- 3.6.11.1. Assess emergency care needs (e.g., transportation, birthing facilities) (IR)
- 3.6.11.2. Provide family planning to most vulnerable population segments (IR)
- 3.6.11.3. Train birth attendants (T)
- 3.6.11.4. Provide antenatal and postpartum care (T)
- 3.6.11.5. Focus care on neonatal health (T)

3.6.12. Environmental Health

- 3.6.12.1. (I) Identify most dangerous public health hazards and isolate from public when possible (IR)
- 3.6.12.2. (I) Safeguard/eliminate most dangerous health hazards (IR)
- 3.6.12.3. Continue to assess for most serious environmental hazards (e.g., lead, mercury, dioxin) (T)
- 3.6.12.4. Establish environmental treatment programs (T)

3.6.13. Community Health Education

- 3.6.13.1. Support a public information campaign to educate population about crisis-induced health risks (IR)
- 3.6.13.2. Obtain medical educational materials (IR)
- 3.6.13.3. Develop multi-sectoral community-based programs geared to identify, prevent, and reduce health risks (T)
- 3.6.13.4. Build community confidence and trust in ability of government to provide services through increased community participation in civil society organizations such as PTAs and community health committees (T)

3.6.13.5. Implement short-term and long-term health care education programs, including family planning and HIV/AIDS education (FS)

3.6.13.6. Use multi-sectoral approaches, e.g., micro-enterprise development with health education (FS)

3.7. Education

3.7.1. Human Resources

3.7.1.1. (I) Reopen schools as quickly as possible (IR)

3.7.1.2. Use them to reach civil populace with programs (IR)

3.7.1.3. Identify and recruit teachers and administrators (T)

3.7.1.4. Register school-aged population; create equal opportunity education policy (T)

3.7.1.5. Train teachers and administrators (FS)

3.7.2. Education-Schools

3.7.2.1. Evaluate need for new schools (IR)

3.7.2.2. (I) Build and repair schools (IR)

3.7.2.3. Obtain educational materials (IR)

3.7.2.4. Open schools (T)

3.7.2.5. (I) Maintain and enlarge new or restored schools (FS)

3.7.3. Education-Universities

3.7.3.1. (I) Evaluate need for new universities (IR)

3.7.3.2. (I) Build and repair universities (IR)

3.7.3.3. Obtain educational materials (IR)

3.7.3.4. Open universities (T)

3.7.3.5. (I) Maintain and enlarge new or restored universities (FS)

3.7.4. Curriculum

3.7.4.1. Develop curriculum that respects diversity (T)

- 3.7.4.2. Distribute curriculum and supporting teaching materials (FS)
 - 3.7.5. Literacy Campaign
 - 3.7.5.1. Survey literacy levels and linguistic groups (IR)
 - 3.7.5.2. Develop literacy campaign (IR)
 - 3.7.5.3. Conduct literacy campaign (T)
 - 3.7.5.4. Institutionalize opportunities for adult education to sustain efforts of literacy campaign (FS)
- 3.8. Social Protection
 - 3.8.1. Social Protection
 - 3.8.1.1. Launch program for social protection and empowerment of vulnerable populations (women, war widows, orphans/ street children, sick, elderly, veterans, etc.) (IR)
 - 3.8.1.2. Launch domestic violence awareness programs; program for youth (sports, culture, etc.) (T)
- 3.9. Assessment, Analysis and Reporting
 - 3.9.1. Humanitarian and Social Well-being Assessment, Analysis and Reporting
 - 3.9.1.1. Identify what critical information is needed, where to find it, what are major gaps, and how to share, present and disseminate the information. If possible, conduct this assessment in advance and identify the gaps in data, information and knowledge (IR)
 - 3.9.1.2. Collect information that can provide situational awareness (e.g., conditions on the ground; severity indicators; who are affected populations; location and numbers of affected populations; damage assessments; security assessments) (IR)

- 3.9.1.3. Collect information that can provide operational or programmatic information (e.g., logistical access routes; “who’s doing what where”; program/financial needs of organizations; who are other donors) (IR)
- 3.9.1.4. Collect information for background knowledge (e.g., history; geography; population demographics and composition; baseline health indicators; political and economic structure and status; infrastructure; and culture of the country) (IR)
- 3.9.1.5. Analyze information in context; relate to other thematic information; evaluate issues and responses; make projections about the future; recommend policies and actions (IR)
- 3.9.1.6. Continue to analyze information in context; relate to other thematic information; evaluate issues and responses; make projections about the future; recommend policies and actions (T)
- 3.9.1.7. Train host country officials and build capacity of local emergency preparedness institutions (FS)
- 3.9.2. Census
 - 3.9.2.1. Establish policy dialogue with national planning leaders to plan national census (IR)
 - 3.9.2.2. Establish partnership with UN [United Nations] agencies to garner additional donor support (IR)
 - 3.9.2.3. Provide technical and financial assistance to national government to plan, conduct, analyze and report census results (T)

- 3.9.3. Land Registers
 - 3.9.3.1. Establish policy dialogue with national planning leaders to develop land registration records (IR)
 - 3.9.3.2. Establish partnership with UN agencies to garner additional donor support (IR)
 - 3.9.3.3. Provide technical and financial assistance to national government to plan, conduct, analyze and report census results (T)
- 3.10. Public Information and Communications
 - 3.10.1. Disseminate Humanitarian and Social Well-Being Information
 - 3.10.1.1. Identify or establish outlets for international, national, and local news media (IR)
 - 3.10.1.2. Utilize media as public information tool to provide factual information and control rumors (IR)
 - 3.10.1.3. Issue effective press releases and timely provision of information services as needed in local languages (IR)
 - 3.10.1.4. Assist National Transitional Administration and/or National Government to inform public regularly (IR)
 - 3.10.1.5. Invest in the development of indigenous capacity (T)
 - 3.10.1.6. Train journalists, expand capacity of outlets and improve interaction with local population and linkages with the international community (T)
- 4A. Economic Stabilization
 - 4A.1. Employment Generation
 - 4A.1.1. Public Works Jobs¹¹

¹¹ See Security: Reintegration of Combatants (1.1.6.).

- 4A.1.1.1. (I) Design initiatives to provide immediate employment, soliciting projects ideas from local communities (IR)
- 4A.1.1.2. (I) Create opportunities for young males, including food for work (IR)
- 4A.1.1.3. (I) Implement public works projects (T)
- 4A.1.1.4. (I) Rationalize public works projects with long-term development program
- 4A.1.2. Micro and Small Enterprise Stimulation
 - 4A.1.2.1. Assess skills deficiencies (IR)
 - 4A.1.2.2. Assess market opportunities for particular skills (T)
 - 4A.1.2.3. Create opportunities for vocational education (T)
- 4A.1.3. Skills Training and Counseling
 - 4A.1.3.1. Assess and determine immediately employable labor force for appropriate critical and emergency needs (IR)
 - 4A.1.3.2. Organize and mobilize local and foreign assistance necessary to initiate training and development of vital skills (T)
- 4A.2. Monetary Policy
 - 4A.2.1. Central Bank Operations
 - 4A.2.1.1. Assess capability of Central Bank to conduct essential operations such as make domestic payments and settlements, make int'l payments, prepare balance sheet, issue letters of credit if Central Bank role is required, reconcile and report on Treasury accounts (IR)
 - 4A.2.1.2. Initiate immediate capacity in Central Bank to conduct essential Central Bank operations (IR)
 - 4A.2.1.3. Assess need for revising Central Bank Law (IR)

- 4A.2.1.4. Review/prepare bank licensing regulations (IR)
- 4A.2.1.5. Develop institutional capacity to perform on-going central bank operations (e.g., reserve management) (T)
- 4A.2.1.6. Conduct Central Bank audit (T)
- 4A.2.1.7. Prepare Central Bank Law to ensure central bank independence (T)
- 4A.2.1.8. Strengthen bank prudential and supervisory oversight using best practices (T)
- 4A.2.1.9. Ensure Central Bank staff have been trained and have the institutional capacity to manage on-going central bank operations (FS)
- 4A.2.1.10. Ensure legal framework is approved (FS)
- 4A.2.2. Macro-Policy and Exchange Rates¹²
 - 4A.2.2.1. Begin dialogue with policy makers to identify priorities and assess capacity to undertake basic macro and exchange rate policies (IR)
 - 4A.2.2.2. Develop basic monetary policy and take needed steps to stabilize prices and manage inflation (i.e., set up currency auction) (IR)
 - 4A.2.2.3. Develop credible exchange rate policy, review currency status and take needed steps to ensure credibility (i.e., prepare for new currency if needed) (IR)
 - 4A.2.2.4. Develop policy instruments to manage monetary policy consistent with macro-economic program (e.g., T-Bills, currency auctions) (T)

¹² See Economic Stabilization: Fiscal Policy and Governance (4A.3).

- 4A.2.2.5. Address issues of parallel exchange rates and black market rates if exchange rate distortions exist (T)
- 4A.2.2.6. Introduce national currency if needed (T)
- 4A.2.2.7. Set up staff policy unit to analyze statistics and prepare policy options for macro-economic program (T)
- 4A.2.2.8. Initiate process to increase capacity to develop and execute macro policy (T)
- 4A.2.2.9. Ensure that sufficient institutional capacity and trained staff exist to manage monetary policy within macro-economic policy framework (FS)
- 4A.2.2.10. Ensure there is a stable exchange rate regime and policy instruments to support it (FS)
- 4A.2.3. Monetary Audit
 - 4A.2.3.1. Determine skill capacity of key central bank individuals, and if necessary facilitate return of diaspora (IR)
 - 4A.2.3.2. Identify audit capacity of relevant institution (IR)
 - 4A.2.3.3. Determine baseline for audit (IR)
 - 4A.2.3.4. Enhance government ability to absorb and administer donor funds (T)
 - 4A.2.3.5. Audit Central Bank (T)
 - 4A.2.3.6. Develop funding capacity for long-term institution-building (FS)
- 4A.2.4. Monetary Statistics
 - 4A.2.4.1. Survey statistical capabilities and begin collecting key statistics (IR)
 - 4A.2.4.2. Set up statistical unit within the Central Bank (IR)
 - 4A.2.4.3. Develop capabilities of statistical unit within the Central Bank and other key

Ministries to ensure basic monetary, fiscal, and other economic data are available (T)

4A.2.4.4. Ensure training is available to develop long-term statistical capability (FS)

4A.3. Fiscal Policy and Governance

4A.3.1. Fiscal and Macro-Economic Policy¹³

4A.3.1.1. Begin dialogue with policy makers to identify priorities and assess capacity to undertake basic fiscal policy (IR)

4A.3.1.2. Assess immediate fiscal balance and Exchange Rates) financing gap (IR)

4A.3.1.3. Take steps to close fiscal gap (IR)

4A.3.1.4. Develop capacity to manage fiscal situation within macro-economic program (T)

4A.3.1.5. Set up staff policy unit to analyze statistics and prepare policy options for macro-economic program (T)

4A.3.1.6. Institutionalize capacity to manage ongoing fiscal situation within macro-economic program (e.g., develop long-term fiscal targets) (FS)

4A.3.2. Treasury Operations

4A.3.2.1. Reestablish government payment mechanisms to pay recurrent and emergency expenditures (IR)

4A.3.2.2. Establish simple and reliable capacity to process payments, and to record and report payments (IR)

4A.3.2.3. Identify capacity to absorb and administer grants and foreign funds (IR)

¹³ See Economic Stabilization: Macro-Policy and Exchange Rates (4A.2.2).

- 4A.3.2.4. Initiate simple and reliable system to manage grants and foreign assistance (IR)
- 4A.3.2.5. Institutionalize financial management and treasury payment and budget execution system (T)
- 4A.3.2.6. Develop chart of accounts (T)
- 4A.3.2.7. Develop capacity to manage grants and foreign assistance (T)
- 4A.3.2.8. (I) Improve training and IT [Information Technology] for financial reporting and management of expenditure and revenue (T)
- 4A.3.2.9. Strengthen government payment mechanisms (T)
- 4A.3.2.10. Determine appropriate distribution system (T)
- 4A.3.2.11. Institutionalize improvements in treasury operations, payments and budget execution (FS)
- 4A.3.2.12. Ensure sufficient trained staff exist to implement on-going responsibilities (FS)
- 4A.3.3. Budget
 - 4A.3.3.1. Develop budget (IR)
 - 4A.3.3.2. Rationalize revenues and expenditures and establish priorities (IR)
 - 4A.3.3.3. Develop and implement a budgetary process, including input from line ministries (T)
 - 4A.3.3.4. Create capacity to manage budget and personnel issues (T)
 - 4A.3.3.5. Institutionalize process to develop budget and ensure sufficient trained staff exist to manage on-going budget processes (FS)

4A.3.4. Public Sector Investment

- 4A.3.4.1. (I) Prioritize public investment needs (IR)
- 4A.3.4.2. Develop a plan to allocate resources (IR)
- 4A.3.4.3. Pay civil service arrears (IR)
- 4A.3.4.4. Determine structure and affordable size of civil service to meet ongoing and future needs (IR)
- 4A.3.4.5. Strengthen ethics regulations (IR)
- 4A.3.4.6. (I) Invest in critical projects neglected by the private sector (i.e., large-scale investment in education, health care, electricity, mining, oil, and public transportation) (T)
- 4A.3.4.7. Select and train indigenous civil servants (T)
- 4A.3.4.8. Create civil service reform commission (T)
- 4A.3.4.9. Establish transparent entry, promotion, and retirement systems to ensure professionalism and prevent discrimination (T)
- 4A.3.4.10. Continue to use government resources to promote public needs (FS)
- 4A.3.4.11. (I) Consider private-public investment partnerships (FS)
- 4A.3.4.12. Implement civil service reforms; appoint and empower civil servants at national and regional levels (FS)
- 4A.3.4.13. Create mechanisms to monitor and report on corruption by government officials (FS)

4A.3.5. Revenue Generation, Tax Administration

- 4A.3.5.1. Identify tax structure and sources of revenue (IR)

- 4A.3.5.2. Design an efficient tax structure with a clear collection policy (IR)
- 4A.3.5.3. Manage public accounts (IR)
- 4A.3.5.4. Implement plans for revenue generation, customs taxation (T)
- 4A.3.5.5. Implement strategy for improved tax audit, collection and enforcement (FS)
- 4A.3.6. Customs Reform, Enforcement¹⁴
 - 4A.3.6.1. Assess customs revenues and efficiencies and weaknesses of customs service (IR)
 - 4A.3.6.2. Identify immediate physical and capacity barriers to import administration (IR)
 - 4A.3.6.3. Take steps to open borders in a way that reduces incentives for corruption (IR)
 - 4A.3.6.4. Review and make recommendations on tariffs (IR)
 - 4A.3.6.5. Ensure incentives in place to conduct efficient and non-corrupt customs service (T)
 - 4A.3.6.6. Simplify the country's customs code for ease of administration for importers with low risk profile for evasion and smuggling (T)
 - 4A.3.6.7. Assess magnitude of non-official international trade, and implications for revenues and economic activity particularly as it affects specific regions of the country or specific types of merchandise (T)
 - 4A.3.6.8. Undertake the training of customs personnel necessary to administer customs laws consistently nationwide (T)
 - 4A.3.6.9. Establish laws and a legal structure that ensure accountability of the customs

¹⁴ See Economic Stabilization: Trade, Trade Structure (4A.7.1).

administration and the importing community (T)

4A.3.6.10. Expand port and border crossing capabilities with a view to administering higher volumes of trade (T)

4A.3.6.11. (I) Build an integrated, nationwide customs administration capable of minimizing corruption, protecting the rights of importers and foreign exporters, collecting the expected revenue from lower—but consistently applied—customs duties, and encouraging (through greater efficiency) the routing of trade through legal rather than illicit channels (FS)

4A.3.7. Tax Policy

4A.3.7.1. Determine the efficacy of alternative short-term tax policies (i.e., tax holiday) (IR)

4A.3.7.2. Identify and implement ST measures to increase revenue as appropriate—cognizant of effects on war torn population (IR)

4A.3.7.3. Rationalize tax policy to provide tax revenue and redraft necessary tax laws to increase efficiency in revenue collection (T)

4A.3.7.4. Determine level of tax rates (T)

4A.3.7.5. Evaluate collection rates of tax authorities (T)

4A.3.7.6. Approve and implement long-term tax policies (FS)

4A.3.8. Fiscal Audit

4A.3.8.1. Identify audit capacity of relevant institution (IR)

4A.3.8.2. Determine base line data for audit (IR)

- 4A.3.8.3. Create or strengthen compliance laws (IR)
- 4A.3.8.4. Create appropriate legal framework for accountable government operations (procurement, expenditures, etc.) (T)
- 4A.3.8.5. Audit government accounts (T)
- 4A.3.8.6. Implement a functioning and transparent auditing system (FS)
- 4A.3.8.7. Ensure sufficient trained staff to carry out sustainable audit process (FS)
- 4A.4. General Economic Policy
 - 4A.4.1. Strategy/Assessment
 - 4A.4.1.1. Survey economic situation (needs assessment), including assessment of absorptive capacity of economic and social sector, financial imbalances, and real sector distortions (IR)
 - 4A.4.1.2. Formulate assistance strategy in close cooperation with national government/indigenous actors and international community (IR)
 - 4A.4.1.3. (I) Identify priority sectors for reconstruction and rehabilitation, focusing on the most urgent requirements (IR)
 - 4A.4.1.4. Finalize and implement plan to facilitate economic revival (T)
 - 4A.4.1.5. Negotiate appropriate IMF [International Monetary Fund] program to develop framework for economic reform and identify supporting technical assistance (T)
 - 4A.4.1.6. Develop capacity of policy units in MOF, Central Bank and in private sector to analyze situations and develop policy options (T)

- 4A.4.1.7. Strengthen strategic planning and policy analysis capability (FS)
- 4A.4.1.8. Continue to strengthen relations with the IFIs [International Financial Institutions] (FS)
- 4A.4.2. Prices and Subsidies
 - 4A.4.2.1. Evaluate subsidized sectors, industries, and firms (IR)
 - 4A.4.2.2. Prepare recommendation and timetable on elimination of subsidies and price controls (IR)
 - 4A.4.2.3. Rationalize subsidies with regard to cost to government and impact on employment levels and approve a timetable for action (T)
 - 4A.4.2.4. Eliminate subsidy distortions in the economy (FS)
- 4A.4.3. International Financial Assistance—Donor Coordination
 - 4A.4.3.1. Establish relations with international donor community (IR)
 - 4A.4.3.2. Address constraints to engagement with IFI community, (i.e., USG [U.S. government] legislative sanctions) and take steps to become a member if not already (IR)
 - 4A.4.3.3. Assist national government in formulating recovery plan (IR)
 - 4A.4.3.4. Develop mechanism for donor and in-country coordination (IR)
 - 4A.4.3.5. Complete needs assessment (IR)
 - 4A.4.3.6. Hold donor conferences to mobilize resources (IR)
 - 4A.4.3.7. Negotiate agreement between indigenous authorities and donors concerning

- targets of aid and terms of aid conditionality (T)
- 4A.4.3.8. Harmonize/streamline donor reporting requirements (T)
- 4A.4.3.9. Create monitoring and evaluation mechanisms to track delivery and measure aid impact (T)
- 4A.4.3.10. Reschedule or forgive debts, as appropriate, and resume repayments of rescheduled and post-cut-off-date debts (FS)
- 4A.4.3.11. Monitor status of contributions and implementation (FS)
- 4A.4.3.12. Target aid to reinforce national development priorities (FS)
- 4A.4.4. Public Sector Institutions¹⁵
 - 4A.4.4.1. (I) Identify operational capacity, including physical structure and security (IR)
 - 4A.4.4.2. Establish ministries and independent agencies, including specifying organization and lines of authority (T)
 - 4A.4.4.3. Provide ongoing technical support for institutional development of the public sector (FS)
- 4A.5. Financial Sector
 - 4A.5.1. Banking Operations
 - 4A.5.1.1. If banking sector operational, start up commercial banking operations, i.e., open LOC mechanism and trade credits to reintegrate into the international financial community (IR)
 - 4A.5.1.2. If banking sector operational, ensure capacity for bank payments and settlements (IR)

¹⁵ See Economic Stabilization: Fiscal Policy and Governance, Public Sector Investment (4A.3.4).

- 4A.5.1.3. (I) Evaluate condition of banks and determine medium-term strategy for operations (IR)
- 4A.5.1.4. Implement medium-term banking strategy (T)
- 4A.5.1.5. Start-up or continue transparent and commercially viable bank operations (T)
- 4A.5.1.6. Review non-performing loan portfolio for bankrupt banks and decide how to address bank losses (T)
- 4A.5.1.7. If commercial banks are insolvent, address long-term banking sector problems (FS)
- 4A.5.1.8. License new commercially viable banks (FS)
- 4A.5.2. Banking Regulations and Oversight
 - 4A.5.2.1. Evaluate the regulatory framework (IR)
 - 4A.5.2.2. Review and prepare bank licensing standards and procedures (IR)
 - 4A.5.2.3. Begin bank licensing process to ensure commercially viable private banks have access to the market (T)
 - 4A.5.2.4. Set up supervisory and regulatory framework for banks (T)
 - 4A.5.2.5. Prepare other prudential banking standards (related parties, capital/asset ratios, etc.) (T)
 - 4A.5.2.6. Recruit and train regulators (T)
 - 4A.5.2.7. Prepare manuals and standards for on-sight and off-sight bank inspections (T)
 - 4A.5.2.8. Initiate inspections (T)
 - 4A.5.2.9. Institutionalize regulatory system to govern financial transactions by banks (FS)
 - 4A.5.2.10. Enforce banking regulations (FS)

4A.5.2.11. Monitor banking transactions (FS)

4A.5.2.12. Emphasize transparency in banking system to prevent corruption and enhance economic stability (FS)

4A.5.3. Banking Law

4A.5.3.1. Review/prepare banking law and determine viability vis-à-vis international standards (IR)

4A.5.3.2. Revise and rewrite banking law if needed to accommodate structure of existing banking sector (T)

4A.5.3.3. Support implementation of banking law in accordance with international standards (FS)

4A.5.4. Bank Lending

4A.5.4.1. Provide immediate credit including access to micro and SME [small and medium enterprise] lending (IR)

4A.5.4.2. Ensure standard banking practices to approve loans are part of early credit programs (IR)

4A.5.4.3. Develop on-going credit programs including access to micro and SME lending (T)

4A.5.4.4. Initiate savings programs as a source of funds for lending (T)

4A.5.4.5. Expand long-term savings programs as a source of funds for credit programs (FS)

4A.5.4.6. Institutionalize micro enterprise financing as a part of banking system and ensure it is under umbrella of regulatory framework (FS)

4A.5.5. Asset and Money Laundering

4A.5.5.1. Freeze accounts of combatants (IR)

4A.5.5.2. Block international access of overseas accounts, money laundering (IR)

4A.5.5.3. Trace assets and remit back to the government (T)

4A.5.6. Non-Banking Sector

4A.5.6.1. Evaluate the needs for insurance, equities, and non-bank credit sources (T)

4A.5.6.2. Facilitate creation of private insurance sector (T)

4A.5.6.3. Develop non-bank financial institutions as appropriate for the country (FS)

4A.5.7. Stock and Commodity Markets

4A.5.7.1. Assess feasibility of equity markets as a way to increase investment resources as alternative to debt (T)

4A.5.7.2. Assess feasibility of stock markets as way to facilitate privatization (T)

4A.5.7.3. Create conditions conducive to formation of stock and commodity markets (FS)

4A.6. Debt

4A.6.1. Debt Management

4A.6.1.1. Evaluate external position vis-à-vis external and domestic creditors and clear arrears, where possible (IR)

4A.6.1.2. Establish short-term and MLT debt strategy (IR)

4A.6.1.3. Creation of control system for effective debt management (T)

4A.6.1.4. Seek necessary Balance of Payment (BOP) support from international community (T)

4A.6.1.5. Develop long-term sustainable debt strategy (FS)

4A.6.2. Arrears Clearance

4A.6.2.1. Conduct inventory of multilateral and bilateral arrears to creditors (IR)

4A.6.2.2. Develop arrears clearance strategy (i.e., multilateral fund, debt forgiveness) (IR)

4A.6.2.3. Make necessary payments to creditors (T)

4A.7. Trade

4A.7.1. Trade Structure¹⁶

4A.7.1.1. Evaluate tariffs, tax structures and barriers to trade (IR)

4A.7.1.2. Reduce restrictions on imports that hinder access to goods for small business and investors (IR)

4A.7.1.3. Continue to evaluate viability of reducing tariffs, taxes, and barriers to trade (T)

4A.7.1.4. Foster economic integration through local, regional, and global organizations (FS)

4A.7.2. Trade Facilitation

4A.7.2.1. Open or maintain LOC mechanisms and trade credits to trade critical goods (IR)

4A.7.2.2. Set trade priorities and explore new trade opportunities (IR)

4A.7.2.3. Initiate dialogue between country economic team and international actors responsible for granting preferential trading status (IR)

4A.7.2.4. Provide technical assistance to firms and trade groups to develop non-traditional export capacities (T)

4A.7.2.5. Take steps to qualify for preferential market access under GSP [Generalized

¹⁶ See Economic Stabilization: Fiscal Policy and Governance, Customs Reform, Enforcement (4A.3.6).

System of Preferences] and regional trade arrangements (T)

4A.7.2.6. Meet import quality requirements of major trading partners (T)

4A.7.2.7. Increase export diversification to enhance economic stability (FS)

4A.7.2.8. Seek accession into regional or global trade organizations (FS)

4A.8. Market Economy

4A.8.1. Private Sector Development¹⁷

4A.8.1.1. (I) Assess the depth of the private sector, including weakness of the goods and service sector and its distribution channels (IR)

4A.8.1.2. (I) Identify obstacles to private sector development (i.e., barriers to entry, high import taxes, import restrictions, lack of business credit, lack of power, telecommunications or transport, non-repatriation of profits) (IR)

4A.8.1.3. Take immediate steps to remove or counter these obstacles where possible (IR)

4A.8.1.4. Jump start small-scale private sector entrepreneurs through grants and loans to micro-entrepreneurs and small and medium enterprises (SMEs) (IR)

4A.8.1.5. Encourage investment by international actors, including diaspora communities (T)

4A.8.1.6. Eliminate barriers to business development (T)

¹⁷ See Economic Stabilization: Legal and Regulatory Reform, Competition Policy (4A.9.5).

- 4A.8.1.7. Ensure no unfair or unusual restrictions on entry into (i.e., monopoly) and exit from market (i.e., bankruptcy law) (T)
- 4A.8.1.8. Ensure non-preferential access to markets (T)
- 4A.8.1.9. Strengthen private sector through contracting/out-sourcing (T)
- 4A.8.1.10. Assess and make recommendations for improvements in condition of power, transport, and telecommunication sectors (T)
- 4A.8.1.11. Provide investors with legal protections and incentives (T)
- 4A.8.1.12. Establish a business environment for long-term growth (FS)
- 4A.8.1.13. Offer risk protection to facilitate sustained investment (FS)
- 4A.8.1.14. Promote business growth through regulatory streamlining and sound tax policy (FS)
- 4A.8.1.15. Facilitate the growth of the real sector through development of business associations, think tanks, etc. (FS)
- 4A.8.1.16. Develop a business strategy/plan for a diversified economy (FS)
- 4A.8.2. Small and Micro-Enterprise Regime
 - 4A.8.2.1. Identify constraints to small business development and take steps to remove them where possible in the short-term (i.e., lack of credit, onerous taxes) (IR)
 - 4A.8.2.2. Develop strategy for removing obstacles to small business development and implement the strategy (T)
 - 4A.8.2.3. Assess need for assistance program for small development programs—(technical and financial) (T)

- 4A.8.2.4. Support development of business associations (T)
- 4A.8.2.5. Design and draft legal framework for small business development (T)
- 4A.8.2.6. Help identify funding sources and implement priority projects (T)
- 4A.8.2.7. Working with IFC [International Finance Corporation] and other institutions, explore option to develop micro-enterprise/micro credit entity (FS)
- 4A.8.3. Privatization
 - 4A.8.3.1. Assess impact of State Owned Enterprises (SOE) on fiscal balance to determine whether fiscal drain or resource loss from unproductive firms can be offset through some type of privatization (IR)
 - 4A.8.3.2. Assessment of SOEs and their fiscal impact (T)
 - 4A.8.3.3. Develop a strategy for privatization of loss-making enterprises, as necessary (T)
 - 4A.8.3.4. Address how to handle losses from SOEs (MOF/CB [Central Bank]) (T)
 - 4A.8.3.5. Assess contribution of privatization to jump-starting new industries (the creation of new firms from resources available from closing down old firms may support job creation) (T)
 - 4A.8.3.6. If privatizing and if results in job loss, ensure that social safety net can support transition from losing old firms to starting up new firms (T)
 - 4A.8.3.7. Ensure legal and regulatory frameworks support privatization (FS)

4A.8.4. Natural Resources and Environment

- 4A.8.4.1. (I) Assess and secure access to valuable natural resources (IR)
- 4A.8.4.2. Initiate process for addressing and resolving resource ownership and access issues (IR)
- 4A.8.4.3. (I) Conduct national environmental survey (IR)
- 4A.8.4.4. Prevent capture of proceeds from natural resources and commodities by faction(s) (T)
- 4A.8.4.5. Establish mechanism to ensure transparency in extractive industries (T)
- 4A.8.4.6. Stop illicit trade in natural resources and develop governance mechanisms and incentives to bring trade into market (T)
- 4A.8.4.7. Impose penalties on those that plunder resources (T)
- 4A.8.4.8. (I) Conduct geological survey (T)
- 4A.8.4.9. (I) Promote development of natural resources to attract potential investors (T)
- 4A.8.4.10. Establish environmental protection and regulatory mechanisms (T)
- 4A.8.4.11. Rationalize national resource policies with long-term economic development strategies (FS)
- 4A.8.4.12. Diversify economy to reduce over-dependence on single commodities (FS)
- 4A.8.4.13. Develop capacity to enforce environmental protection provisions and combat environmental crime (FS)
- 4A.8.4.14. (I) Promote integrated watershed management (FS)

4A.8.4.15. Draft and adopt specific environmental standards for industry and agriculture (FS)

4A.9. Legal and Regulatory Reform

4A.9.1. Property Rights

4.9.1.1.1. Evaluate existing laws pertaining to land rights, registration of the property, and collateralization of movable and immovable property (IR)

4A.9.1.2. Take immediate steps where needed to establish process to resolve property rights issues (IR)

4A.9.1.3. Establish procedure to resolve property rights for land and subterranean resources (T)

4A.9.1.4. Draft laws and codes to establish or strengthen property rights including customary or traditional concepts where appropriate (T)

4A.9.1.5. Establish process to reconcile and address claims of expropriations (T)

4A.9.1.6. Adopt appropriate laws, regulations, and codes (T)

4A.9.1.7. Ensure equitable implementation of laws, regulations, and codes (FS)

4A.9.2. Business/Commercial Law

4A.9.2.1. Evaluate restrictions on trade, commerce, and open market operations (IR)

4A.9.2.2. Evaluate existing laws pertaining to commercial and business operations (IR)

4A.9.2.3. Design laws and regulations to provide incentives for economic growth and development (T)

4A.9.2.4. Streamline businesses' administrative requirements for entry (T)

- 4A.9.2.5. Reform business laws, accounting/reporting practices (e.g., bankruptcy, collateralization of assets) to encourage foreign and domestic investment (T)
- 4A.9.2.6. Evaluate and develop competition policy (T)
- 4A.9.2.7. Implement laws and regulations, including provisions to protect intellectual property rights (FS)
- 4A.9.2.8. Create and initiate framework for privatization of appropriate public assets (FS)
- 4A.9.3. Labor
 - 4A.9.3.1. Evaluate existing laws pertaining to labor rights (IR)
 - 4A.9.3.2. Design laws and regulations to protect labor rights, including workplace safety, minimum wage, child labor and union rights provisions (T)
 - 4A.9.3.3. Implement and enforce labor laws and regulations (FS)
 - 4A.9.3.4. Promote management-labor dispute mechanisms (FS)
- 4A.9.4. Economic Legal Reform
 - 4A.9.4.1. Review civil and commercial codes (IR)
 - 4A.9.4.2. Determine relevance of enforcement mechanisms (IR)
 - 4A.9.4.3. Retract necessary sanctions restrictions (IR)
 - 4A.9.4.4. Evaluate legal framework (IR)
 - 4A.9.4.5. Evaluate contract obligations with international financial community (IR)
 - 4A.9.4.6. Draft and promulgate revisions (T)
 - 4A.9.4.7. Analyze applicability of codes to foster economic growth (e.g., effectiveness of courts and enforcement) (T)

- 4A.9.4.8. Develop codes to foster economic growth and development (T)
- 4A.9.4.9. Determine the viability of intellectual property rights, foreign direct investment allowances and standards as they pertain to the trade laws (T)
- 4A.9.4.10. Design laws that are conducive to an open market trade regime and a responsible tariff structure (T)
- 4A.9.4.11. Design and revise laws to take into consideration domestic and foreign contractual agreements (T)
- 4A.9.5. Competition Policy
 - 4A.9.5.1. Assess market for obvious problems with legal and regulatory framework for free market environment (IR)
 - 4A.9.5.2. Ensure regulatory framework allows free entry and exit in market, non-discriminatory pricing and access to markets, credible bankruptcy laws, etc. (T)
 - 4A.9.5.3. Assess whether certain groups receive preferential access to government contracts, licenses, whether donor funds that distort the market and develop transparent approach (i.e., war lords, military budget) (T)
- 4A.9.6. Public Utilities and Resources Regulation¹⁸
 - 4A.9.6.1. (I) Assess policy, governance and regulatory framework to rebuild utilities, power, mining, and other key infrastructure and facilities (IR)
 - 4A.9.6.2. Review and revise as necessary policies for pricing, distribution, concessions, etc., of sectors (T)

¹⁸ See Infrastructure (4B).

4A.9.7. Economic Enforcement and Anti-Corruption¹⁹

- 4A.9.7.1. Identify incentives to reduce corruption (IR)
- 4A.9.7.2. Assess threat/existence of corruption in political system (IR)
- 4A.9.7.3. Identify drivers of corruption (IR)
- 4A.9.7.4. Develop laws promoting anti-corruption, accountability and transparency within government and private sector (IR)
- 4A.9.7.5. Create mechanisms to curtail corruption, including special prosecutors, witness and judge protection, and ethics norms (IR)
- 4A.9.7.6. Design and implement anti-corruption campaign, including education and codes of conduct (T)
- 4A.9.7.7. Enforce anti-corruption laws, including removal of corrupt officials (T)
- 4A.9.7.8. Develop and implement enforcement mechanisms (T)
- 4A.9.7.9. Combat corruption among police, border, customs, and tax collection forces/units (T)
- 4A.9.7.10. Empower legal and civil society mechanisms to monitor governmental behavior (T)
- 4A.9.7.11. Foster transparent governing practices in public and private sectors (T)
- 4A.9.7.12. Revise procurement procedures (T)
- 4A.9.7.13. Development and implement enforcement mechanisms (FS)
- 4A.9.7.14. Prosecute violators and enforce standards (FS)

¹⁹ See Economic Stabilization: Fiscal Policy and Governance (4A.3).

4A.9.7.15. Seek international cooperation to combat corruption (FS)

4A.9.7.16. Dismantle organized crime networks (FS)

4A.10. Agricultural Development

4A.10.1. Agricultural Land and Livestock

4A.10.1.1. (I) Secure existing post-harvest storage facilities to prevent spoilage and looting of harvested crops (IR)

4A.10.1.2. Establish a process to determine land ownership, if disputed (e.g., if internally displaced person (IDP) claims to own land) (IR)

4A.10.1.3. Estimate crop production, mix, and input adequacy (IR)

4A.10.1.4. Assess current land distribution, and the degree of market integration (IR)

4A.10.1.5. Estimate farm income and poverty level (IR)

4A.10.1.6. Destock if appropriate (IR)

4A.10.1.7. Identify constraints to production (T)

4A.10.1.8. Assess health, diversity, and number of animals (T)

4A.10.1.9. Keep core reproductive group alive through water and/or fodder provision (T)

4A.10.1.10. (I) Identify degraded areas (T)

4A.10.1.11. Improve soil fertility through use of mineral and organic fertilizers (T)

4A.10.1.12. Increase usage of various soil management techniques to improve soil moisture retention and water use efficiency in irrigation (T)

4A.10.1.13. (I) Develop programs to address degradation through reforestation (example: reforestation/economic development)

- through provision of income generating activities in Afghanistan) (T)
- 4A.10.1.14. Determine the extent to which the prevailing land tenure and/or land titling is a constraint (T)
- 4A.10.1.15. Assess the farm labor market (T)
- 4A.10.1.16. Identify the role of women in agriculture (T)
- 4A.10.1.17. Provide veterinary services (T)
- 4A.10.1.18. Restock if appropriate (T)
- 4A.10.1.19. Establish sanitary practices and procedures (T)
- 4A.10.1.20. (I) Improve design and maintenance of rural farm-to-market roads (FS)
- 4A.10.1.21. (I) Establish and implement protocols for rural road construction near rivers (FS)
- 4A.10.1.22. (I) Establish simple methods for rural road improvement and maintenance by communities and municipalities (FS)
- 4A.10.1.23. Develop proper forest management practices (FS)
- 4A.10.1.24. Establish grades and standards and food safety procedures for livestock for domestic use and export (FS)
- 4A.10.1.25. Improve rangeland management techniques through training of ministry staff and community leaders (FS)
- 4A.10.2. Agricultural Inputs
 - 4A.10.2.1. (I) Rebuild small scale irrigation systems and use technologies for collecting rainwater (IR)
 - 4A.10.2.2. (I) Identify critical points if emergency watershed protection is needed (IR)
 - 4A.10.2.3. (I) Determine agricultural needs within a watershed (IR)

- 4A.10.2.4. (I) Locate significant sources of sediment (IR)
- 4A.10.2.5. (I) Determine if land is a flood risk (IR)
- 4A.10.2.6. Identify agricultural time lines and necessary inputs according to the agricultural calendar (IR)
- 4A.10.2.7. Supply appropriate seeds, tools and other production inputs to farmers in affected region(s) (e.g., fertilizer, fuel, pesticide, equipment, etc.) (IR)
- 4A.10.2.8. Determine cost-effectiveness of different irrigation plans (T)
- 4A.10.2.9. (I) Improve irrigation engineering (T)
- 4A.10.2.10. (I) Provide income generating activities to rebuild watersheds and irrigation systems (T)
- 4A.10.2.11. (I) Promote bioengineering, such as the use of natural materials for stream bank stabilization (T)
- 4A.10.2.12. Select crops and pasture grasses most appropriate for seasonal water availability while still yielding financial return (T)
- 4A.10.2.13. (I) Protect water sources through tree planting, fencing, and community agreement on restriction of activities near water sources or managed grazing on common pasture lands (T)
- 4A.10.2.14. (I) Improve drainage during road construction to reduce excessive runoff (FS)
- 4A.10.2.15. Ensure Ministry staff is trained in maintenance of irrigation systems (FS)
- 4A.10.2.16. Use extension agents to train local farmers in soil and water management and irrigation techniques (FS)

- 4A.10.2.17. Improve crop production through Integrated Pest Management or use of improved seeds (FS)
- 4A.10.2.18. Follow standards for phytosanitary food crops (FS)
- 4A.10.2.19. Support longer-term breeding programs to diversify and rebuild locally adapted lines of important food security crops (FS)
- 4A.10.3. Agricultural Policy and Financing
 - 4A.10.3.1. Identify policy makers in the agricultural, natural resources and the environment areas and discuss their priorities for their respective sectors (IR)
 - 4A.10.3.2. Identify existing Ministry officials in the country or who have fled and are willing to return to their home (IR)
 - 4A.10.3.3. Rehabilitate physical structures (IR)
 - 4A.10.3.4. Establish grant programs for all aspects of agricultural development (IR)
 - 4A.10.3.5. Ensure equal access by minorities, women and poor (IR)
 - 4A.10.3.6. Promote diversification of agriculture and livestock as well as supporting service sectors (T)
 - 4A.10.3.7. Increase human capacity of public sector agricultural institutions (e.g., research, extension, information and statistics, crop protection, veterinary service, food safety) (T)
 - 4A.10.3.8. Develop land reform plan (FS)
 - 4A.10.3.9. Implement land reform measures (FS)
 - 4A.10.3.10. Ensure equal access and land (quality) distribution for minorities, women, and poor (FS)

- 4A.10.3.11. Train Ministry staff in country and through international exchanges in the latest scientific and research data (FS)
- 4A.10.3.12. Participate in university, private and public exchange programs (FS)
- 4A.10.3.13. Establish financial (credit) services for crop and livestock production and marketing (FS)
- 4A.10.4. Agricultural Distribution²⁰
 - 4A.10.4.1. Channel food aid to promote market activities (IR)
 - 4A.10.4.2.(I) Establish transportation and distribution networks, including farm-to-market roads (T)
 - 4A.10.4.3. Support the provision of financial services to the domestic transport sector to facilitate movement of agricultural products to markets (T)
 - 4A.10.4.4. Initiate collection of public good market information, commodity grading and statistics system (T)
 - 4A.10.4.5. Re-establish and facilitate market-oriented domestic food production (FS)
 - 4A.10.4.6. Improve food safety systems to facilitate agricultural trade (FS)
 - 4A.10.4.7. Promote private sector investments in production, processing, transportation, and marketing (FS)
 - 4A.10.4.8. Establish public-private partnerships to promote agricultural trade (FS)
- 4A.11. Social Safety Net
 - 4A.11.1. Pension System
 - 4A.11.1.1. Assess existing pension systems for government and parastatal employees (IR)

²⁰ See Humanitarian and Social Well-Being: Food Security (3.3).

- 4A.11.1.2. Assess capability of government to pay pensions or reduce pension arrears if applicable (IR)
- 4A.11.1.3. Design or reconfigure pension system based on agreed criteria and ability of new government to support them (T)
- 4A.11.1.4. Assess pension systems for private sector employees (T)
- 4A.11.1.5. Secure funding stream and institutionalize pension system (FS)
- 4A.11.2. Social Entitlement Funds
 - 4A.11.2.1. Assess availability of social entitlement funds for disabled, widows, orphans and unemployed (IR)
 - 4A.11.2.2. Rationalize funding for social safety net programs (T)
 - 4A.11.2.3. Ensure programs are sustainable (FS)
- 4A.11.3. Women's Issues
 - 4A.11.3.1. Identify legal and de facto barriers to women's full participation including property rights, land tenure, etc. (T)
- 4B. Infrastructure
 - 4B.1. Transportation
 - 4B.1.1. Transportation Sector Policy and Administration
 - 4B.1.1.1. Assess overall condition of national transportation infrastructure (IR)²¹
 - 4B.1.1.2. Determine and prioritize essential infrastructure programs and projects that reflect a balance of security, stabilization, and economic reconstruction (IR)
 - 4B.1.1.3. Establish policies to support transportation priorities (IR)

²¹ See Economic Stabilization: Employment Generation, Public Works Jobs (4A.1.1), Economic Stabilization: Fiscal Policy and Governance, Public Sector Investment (4A.3.4), and Economic Stabilization: Legal and Regulatory Reform (4A.9).

- 4B.1.1.4. Develop regional and national transportation plans (T)
- 4B.1.1.5. Develop partnerships with local organizations to meet community needs and increase local capacity to develop and maintain transportation critical infrastructure (T)
- 4B.1.1.6. Develop a national transportation system that links key nodal infrastructure (FS)
- 4B.1.1.7. Implement transportation programs and projects (FS)
- 4B.1.2. Airports Infrastructure²²
 - 4B.1.2.1. Assess condition of existing airport facilities (IR)
 - 4B.1.2.2. Construct expedient repairs or build new facilities to support security and stabilization and to facilitate re-establishment of commerce (IR)
 - 4B.1.2.3. Develop regional and national aviation transportation plans (T)
 - 4B.1.2.4. Implement programs and projects for sustainable airport operations (FS)
- 4B.1.3. Roads Infrastructure²³
 - 4B.1.3.1. Assess condition of existing roads and bridge facilities (IR)
 - 4B.1.3.2. Construct expedient repairs or build new facilities to support security and stabilization and to facilitate re-establishment of commerce (IR)

²² See Economic Stabilization: Employment Generation, Public Works Jobs (4A.1.1), Economic Stabilization: Fiscal Policy and Governance, Public Sector Investments (4A.3.4), and Economic Stabilization: Legal and Regulatory Reform (4A.9).

²³ See Economic Stabilization: Employment Generation, Public Works Jobs (4A.1.1), and Economic Stabilization: Fiscal Policy and Governance, Public Sector Investments (4A.3.4).

- 4B.1.3.3. Develop municipal, regional, and national road transportation plans (T)
- 4B.1.3.4. Implement programs and projects for sustainable roads, highways, bridges, and tunnels operations (FS)
- 4B.1.4. Railway Infrastructure²⁴
 - 4B.1.4.1. Assess condition of existing railway facilities (IR)
 - 4B.1.4.2. Construct expedient repairs or build new facilities to support security and stabilization and to facilitate re-establishment of commerce (IR)
 - 4B.1.4.3. Develop municipal, regional, and national railway transportation plans (T)
 - 4B.1.4.4. Implement programs and projects for sustainable intra and intercity railway and terminal operations (FS)
- 4B.1.5. Ports and Waterway Infrastructure²⁵
 - 4B.1.5.1. Assess condition of existing coastal and inland ports, harbors, and waterways facilities (IR)
 - 4B.1.5.2. Construct expedient repairs or build new facilities to support security and stabilization and to facilitate re-establishment of commerce (IR)
 - 4B.1.5.3. Develop regional and national port and waterway transportation plans (T)

²⁴ See Economic Stabilization: Employment Generation, Public Works Jobs (4A.1.1), Economic Stabilization: Fiscal Policy and Governance, Public Sector Investments (4A.3.4), and Economic Stabilization: Legal and Regulatory Reform (4A.9).

²⁵ See Economic Stabilization: Employment Generation, Public Works Jobs (4A.1.1), Economic Stabilization: Fiscal Policy and Governance, Public Sector Investments (4A.3.4), and Economic Stabilization: Legal and Regulatory Reform (4A.9).

4B.1.5.4. Implement programs and projects for sustainable port and waterway operations (FS)

4B.2. Telecommunications

4B.2.1. Telecommunications Policy and Administration²⁶

4B.2.1.1. Assess overall condition of national telecommunications infrastructure (IR)

4B.2.1.2. Determine and prioritize essential infrastructure programs and projects that reflect a balance of security, stabilization, and economic reconstruction (IR)

4B.2.1.3. Establish policies to support telecommunications priorities (IR)

4B.2.1.4. Develop regional and national telecommunication plans (T)

4B.2.1.5. Develop partnerships with local organizations to meet community needs and increase local capacity to develop and maintain energy critical infrastructure (T)

4B.2.1.6. Develop national telecommunications system (FS)

4B.2.2. Telecommunication Infrastructure

4B.2.2.1. Assess condition of existing telecommunications facilities (IR)

4B.2.2.2. Develop regional and national telecommunications plans (T)

4B.2.2.3. Implement telecommunications programs and projects (FS)

4B.3. Energy

4B.3.1. Fossil Fuels Production and Distribution²⁷

²⁶ See Economic Stabilization: Legal and Regulatory Reform (4A.9).

²⁷ See Economic Stabilization: Employment Generation, Public Works Jobs (4A.1.1), Economic Stabilization: Fiscal Policy and Governance, Public Sector Investments (4A.3.4), and Economic Stabilization: Legal and Regulatory Reform (4A.9).

- 4B.3.1.1. Assess overall condition of national energy infrastructure (IR)
- 4B.3.1.2. Determine and prioritize essential infrastructure programs and projects that reflect a balance of security, stabilization, and economic reconstruction (IR)
- 4B.3.1.3. Establish policies to support energy priorities (IR)
- 4B.3.1.4. Develop regional and national energy plans (T)
- 4B.3.1.5. Develop national energy infrastructure system (FS)
- 4B.3.2. Electrical Power Sector²⁸
 - 4B.3.2.1. Assess condition of existing power generation and distribution facilities (IR)
 - 4B.3.2.2. Develop national power grid plans that encompass generation to delivery (T)
 - 4B.3.2.3. Implement electrical power programs and projects (FS)
- 4B.3.3. Energy Infrastructure²⁹
 - 4B.3.3.1. Assess condition of existing natural resources conversion and distribution facilities, and power generation and distribution facilities (IR)
 - 4B.3.3.2. Develop energy investment plans (T)
 - 4B.3.3.3. Develop partnerships with local organizations to meet community needs and increase local capacity to develop and maintain energy critical infrastructure (T)
 - 4B.3.3.4. Invest in energy programs and projects that support national energy priorities (FS)

²⁸ See Economic Stabilization: Legal and Regulatory Reform (4A.9).

²⁹ See Economic Stabilization: Legal and Regulatory Reform (4A.9).

4B.4. General Infrastructure

4B.4.1. Engineering and Construction

4B.4.1.1. Assess condition of existing facilities that are integral for effectively implementing other post-conflict sector essential tasks (e.g., fire and police stations, border checkpoints, IDP camps and shelters) (IR)

4B.4.1.2. Construct facilities that restore and promote overall indigenous governance, commerce, and social well-being (T)

4B.4.2. Municipal Services

4B.4.2.1. Assess condition of existing local, municipal facilities that provide essential services to local population (IR)

4B.4.2.2. Construct expedient repairs or new facilities to support restoration of stability and normalcy to local populations (e.g., schools, medical clinics, municipal buildings) (IR)

4B.4.2.3. Construct facilities that restore and promote local, indigenous governance, commerce, and social well-being (T)

4B.4.2.4. Develop partnerships with local organizations to meet community needs and increase local capacity to develop and maintain energy critical infrastructure (T)

4B.5. Public Information and Communications

4B.5.1. Disseminate Economic Stabilization and Infrastructure Information

4B.5.1.1. Identify or establish outlets for international, national, and local news media (IR)

- 4B.5.1.2. Utilize media as public information tool to provide factual information and control rumors (IR)
- 4B.5.1.3. Issue effective press releases and timely provision of information services as needed in local languages (IR)
- 4B.5.1.4. Assist National Transitional Administration and/or National Government to inform public regularly (IR)
- 4B.5.1.5. Invest in the development of indigenous capacity (T)
- 4B.5.1.6. Train journalists, expand capacity of outlets and improve interaction with local population and linkages with the international community (T)
- 5. Justice and Reconciliation
 - 5.1. Interim Criminal Justice System
 - 5.1.1. Interim International Criminal Justice Personnel—Judges
 - 5.1.1.1. Deploy interim justice personnel to supplement indigenous criminal justice system (IR)
 - 5.1.1.2. Dispense justice in central or sensitive jurisdictions (T)
 - 5.1.1.3. Transfer responsibilities to indigenous justice institutions (FS)
 - 5.1.2. Interim International Criminal Justice Personnel—Prosecutors
 - 5.1.2.1. Deploy interim justice personnel to supplement indigenous criminal justice system (IR)
 - 5.1.2.2. Dispense justice in central or sensitive jurisdictions (T)
 - 5.1.2.3. Transfer responsibilities to indigenous justice institutions (FS)

- 5.1.3. Interim International Criminal Justice Personnel—Defense Advocates
 - 5.1.3.1. Deploy interim justice personnel to supplement indigenous criminal justice system (IR)
 - 5.1.3.2. Dispense justice in central or sensitive jurisdictions (T)
 - 5.1.3.3. Transfer responsibilities to indigenous justice institutions (FS)
- 5.1.4. Interim International Criminal Justice Personnel—Court Administrators
 - 5.1.4.1. Deploy interim justice personnel to supplement indigenous criminal justice system (IR)
 - 5.1.4.2. Dispense justice in central or sensitive jurisdictions (T)
 - 5.1.4.3. Transfer responsibilities to indigenous justice institutions (FS)
- 5.1.5. Interim International Criminal Justice Personnel—Corrections Staffs
 - 5.1.5.1. Deploy interim justice personnel to supplement indigenous criminal justice system (IR)
 - 5.1.5.2. Dispense justice in central or sensitive jurisdictions (T)
 - 5.1.5.3. Transfer responsibilities to indigenous justice institutions (FS)
- 5.1.6. Interim International Criminal Justice Personnel—Police/Investigators
 - 5.1.6.1. Deploy interim justice personnel to supplement indigenous criminal justice system (IR)
 - 5.1.6.2. Dispense justice in central or sensitive jurisdictions (T)
 - 5.1.6.3. Transfer responsibilities to indigenous justice institutions (FS)

- 5.1.7. Interim International Legal Code
 - 5.1.7.1. Enact interim legal codes and procedures permitted by international law (IR)
- 5.1.8. Organized Crime
 - 5.1.8.1. Assess indigenous capacity to combat organized crime (IR)
 - 5.1.8.2. Establish multidisciplinary approach to address organized crime involving international intelligence, law enforcement and criminal justice personnel (IR)
 - 5.1.8.3. Strengthen the capacity of indigenous criminal justice institutions and personnel to combat organized crime (T)
 - 5.1.8.4. Transfer responsibilities to permanent justice institutions (FS)
 - 5.1.8.5. Support integration with international efforts to combat organized crime (FS)
- 5.1.9. Law Enforcement Operations
 - 5.1.9.1. Identify, secure and preserve evidence of war crimes, crimes against humanity, corruption, and transnational crimes, including terrorism, organized crime, financial crimes, trafficking in humans and narcotics (IR)
 - 5.1.9.2. Identify and detain perpetrators of these offences (IR)
 - 5.1.9.3. Strengthen the capacity of indigenous criminal justice institutions and personnel to handle the investigation, prosecution and adjudication of complex criminal cases (T)
 - 5.1.9.4. Alternatively, help create new institutions to address the same (T)
 - 5.1.9.5. Assure the full integration of specialized and non-specialized criminal justice

institutions and personnel into the reinvigorated criminal justice system (FS)

5.2. Indigenous Police

5.2.1. Indigenous Police Personnel

- 5.2.1.1. Vet and reconfigure existing police forces (IR)
- 5.2.1.2. Train existing indigenous police in international policing standards (IR)
- 5.2.1.3. Deploy police monitors/ mentors/trainers (IR)
- 5.2.1.4. (I) Establish police academies (T)
- 5.2.1.5. Establish transparent entry, promotion, and retirement systems for national police (T)
- 5.2.1.6. Provide ongoing technical support and training (FS)
- 5.2.1.7. Encourage relationships with relevant national and international law enforcement associations (FS)

5.2.2. Essential Police Facilities³⁰

- 5.2.2.1. (I) Inventory police stations, police mobility capabilities, police communications systems, data management systems and police headquarters (IR)
- 5.2.2.2. (I) Rehabilitate or construct necessary facilities (T)
- 5.2.2.3. Introduce better maintenance practices, police information management systems (FS)

5.2.3. Accountability/Oversight

- 5.2.3.1. Assess requirements to eradicate corruption in law enforcement community (IR)
- 5.2.3.2. Reinforce oversight mechanisms (IR)

³⁰ See Infrastructure: General Infrastructure (4B.4).

- 5.2.3.3. Establish office of Inspector General/ombudsman to investigate police corruption and abuse (T)
- 5.2.3.4. Institutionalize offices of Inspector General and ombudsman by securing line-item budgetary funding (FS)
- 5.3. Judicial Personnel and Infrastructure
 - 5.3.1. Vetting and Recruitment
 - 5.3.1.1. Inventory indigenous legal professionals (IR)
 - 5.3.1.2. Identify actual and potential leaders to incorporate into restructuring process (IR)
 - 5.3.1.3. Establish vetting criteria (IR)
 - 5.3.1.4. Vet existing judicial system personnel, including judges, prosecutors, defense attorneys, and court personnel (T)
 - 5.3.1.5. Reform law school curricula and recruit new faculty (FS)
 - 5.3.1.6. Establish professional code for the judicial system (FS)
 - 5.3.2. Training/Mentoring
 - 5.3.2.1. Educate criminal justice personnel on interim legal codes (IR)
 - 5.3.2.2. Develop training plan closely linked to institutional reform; identify and train local professionals who can train their colleagues (T)
 - 5.3.2.3. Initiate training programs based upon institutional reforms and new laws. Establish mentoring programs with both international and local professionals (FS)

5.3.3. Judicial Support Facilities³¹

- 5.3.3.1. (I) Inventory courts, law schools, legal libraries, and bar associations (IR)
- 5.3.3.2. (I) Rehabilitate or construct necessary facilities (T)
- 5.3.3.3. Introduce more transparent, efficient, and accessible court and case management (FS)

5.3.4. Citizen Access

- 5.3.4.1. Establish liaison mechanism between civilians and judicial authorities on legal matters (IR)
- 5.3.4.2. Media campaigns to make citizens aware of rights, responsibilities and interim procedures and codes (IR)
- 5.3.4.3. Inform indigenous population on accessing the judicial system (T)
- 5.3.4.4. Carry out public consultations on justice reform (T)
- 5.3.4.5. Conduct surveys (T)
- 5.3.4.6. Meet with women's groups and ethnic minorities (T)
- 5.3.4.7. Extend legal representation to underprivileged community through a public defender system and legal services organizations (FS)
- 5.3.4.8. Conduct media campaigns on justice reforms (FS)
- 5.3.4.9. Support civil society organizations to monitor and provide feedback (FS)

5.4. Property

5.4.1. Prevent Property Conflicts³²

³¹ See Infrastructure: General Infrastructure (4B.4).

³² See Economic Stabilization: Legal and Regulatory Reform (4A.9).

- 5.4.1.1. Implement mechanisms to prevent unauthorized seizures of land/property (IR)
- 5.4.1.2. Publicize dispute resolution options/alternative to violence (IR)
- 5.4.1.3. Ensure coordination with law enforcement components to deter violence (IR)
- 5.4.1.4. Establish flexible but structured mechanism for resolving property disputes (T)
- 5.4.1.5. Publicize procedures (T)
- 5.4.1.6. Develop roster of contested property (T)
- 5.4.1.7. Implement mechanism for adjudicating property disputes (FS)
- 5.5. Legal System Reform
 - 5.5.1. Legal System Reorganization
 - 5.5.1.1. Develop strategy to rebuild criminal justice system (IR)
 - 5.5.1.2. Identify countries that can serve as models and sources of expertise (IR)
 - 5.5.1.3. Promote laws fostering judicial independence and transparency (T)
 - 5.5.1.4. Review role of judge and prosecutor and promote role of defense lawyer (T)
 - 5.5.1.5. Foster and develop ethical and independent behavior (T)
 - 5.5.1.6. Institutionalize new structures and responsibilities (FS)
 - 5.5.2. Code and Statutory Reform
 - 5.5.2.1. Review current laws and resolve questions of applicability (IR)
 - 5.5.2.2. Abolish provisions incompatible with international standards of human rights (IR)
 - 5.5.2.3. Facilitate discussions leading to new codes (T)

- 5.5.2.4. Implement legal code reform through legislation (FS)
 - 5.5.2.5. Establish consultative mechanism(s) with international organizations, governments and NGOs (FS)
 - 5.5.3. Participation
 - 5.5.3.1. Create and strengthen legal aid and NGO groups (IR)
 - 5.5.3.2. Channel citizen input into law-drafting process (IR)
 - 5.5.3.3. Translate interim and important laws into local languages (IR)
 - 5.5.3.4. Initiate public dialogue with all sectors of civil society on legal reform (T)
 - 5.5.3.5. Provide oversight and monitoring of code implementation (FS)
 - 5.5.4. Institutional Reform
 - 5.5.4.1. Assess court administration capability and resources (IR)
 - 5.5.4.2. Incorporate credible local leadership (T)
 - 5.5.4.3. Develop reform plan to strengthen court administration capabilities and resources (T)
 - 5.5.4.4. Finance and implement reform plan (FS)
 - 5.5.4.5. Resolve backlog of cases in old system so that new system has an opportunity to take root (FS)
- 5.6. Human Rights
 - 5.6.1. Abuse Prevention
 - 5.6.1.1. Monitor vulnerable groups and act preemptively to deter human rights abuses; implement effective warning mechanisms (IR)
 - 5.6.1.2. Support local capacity to resolve conflict and prevent abuses (T)

- 5.6.1.3. Fold “abuse prevention” efforts into larger judicial and social programs (FS)
- 5.6.2. Capacity Building
 - 5.6.2.1. Assess capacity of indigenous communities, human rights and other groups; engage local communities, consult leaders (IR)
 - 5.6.2.2. Foster support for/establish mechanisms and local capacity to protect human rights and resolve conflict; support citizen advocacy organizations (T)
 - 5.6.2.3. Create mechanisms for organizing human rights and other NGOs; design processes for government/NGO interaction on human rights (FS)
- 5.6.3. Monitoring
 - 5.6.3.1. Establish international monitoring presence (IR)
 - 5.6.3.2. Develop indigenous human rights monitoring capacity (IR)
 - 5.6.3.3. Conduct joint human rights monitoring missions with indigenous monitors (T)
 - 5.6.3.4. Create sustainable indigenous human rights monitoring mechanism (FS)
- 5.7. Corrections
 - 5.7.1. Incarceration and Parole
 - 5.7.1.1. Vet corrections personnel (IR)
 - 5.7.1.2. Determine status of prisoners held (political prisoners and war prisoners) (IR)
 - 5.7.1.3. Coordinate jurisdiction and handover with military as necessary (IR)
 - 5.7.1.4. Institute standards for case review and prisoner disposition (T)
 - 5.7.1.5. Reconfigure probations and parole system (T)

- 5.7.1.6. Transfer penal authority to indigenous authorities (FS)
- 5.7.1.7. Monitor compliance with internationally accepted corrections standards (FS)
- 5.7.2. Corrections Facilities³³
 - 5.7.2.1. (I) Refurbish prison facilities at key sites (IR)
 - 5.7.2.2. (I) Provide emergency lock-up facilities (IR)
 - 5.7.2.3. (I) Coordinate jurisdiction and hand-over (IR)
 - 5.7.2.4. (I) Rebuild correctional institutions, including administrative and rehabilitative capacities (T)
 - 5.7.2.5. Ensure continued funding, oversight and management of correctional facilities (FS)
- 5.7.3. Training
 - 5.7.3.1. Train officers according to internationally accepted standards (T)
 - 5.7.3.2. Establish indigenous sustainable corrections training programs (FS)
- 5.8. War Crime Courts and Tribunals
 - 5.8.1. Establishment of Courts and Tribunals
 - 5.8.1.1. (I) Acquire secure facilities (IR)
 - 5.8.1.2. Establish jurisdiction, composition and mandate of local and international courts and tribunals (IR)
 - 5.8.1.3. Determine ratio of international to local judges and prosecutors (IR)
 - 5.8.1.4. Recruit court staff (T)
 - 5.8.1.5. Provide logistical/technical support to international courts and tribunals (T)

³³ See Infrastructure: General Infrastructure (4B.4).

- 5.8.1.6. Develop intelligence-sharing agreements (T)
- 5.8.1.7. Second expert personnel (T)
- 5.8.1.8. Ensure witness protection (T)
- 5.8.1.9. Bring cases to trial and conclude as expeditiously as possible (FS)
- 5.8.2. Investigation and Arrest
 - 5.8.2.1. Set up an atrocity reporting system; refugee interviews (IR)
 - 5.8.2.2. Document and preserve evidence of mass atrocities and maintain data on sites (IR)
 - 5.8.2.3. Coordinate efforts with UN, regional organizations and NGOs (IR)
 - 5.8.2.4. Assist in investigation, arrest, and transfer of suspected war criminals to international courts (T)
 - 5.8.2.5. Assist indigenous forces efforts to arrest and transfer human rights violators and war criminals (FS)
- 5.8.3. Citizen Outreach
 - 5.8.3.1. Publicize progress and work (IR)
 - 5.8.3.2. Publish indictments and statements (IR)
 - 5.8.3.3. Broadcast court proceedings (T)
 - 5.8.3.4. Support media access (T)
 - 5.8.3.5. Translate and disseminate court records and decisions (FS)
- 5.9. Truth Commissions and Remembrance
 - 5.9.1. Truth Commission Organization
 - 5.9.1.1. Solicit voluntary contributions from international donors (IR)
 - 5.9.1.2. Hire indigenous and international staff to set up commission (IR)
 - 5.9.1.3. Create indigenous dialogue on structure and mandate of commission (IR)

- 5.9.1.4. Involve diverse groups in establishment of court (IR)
- 5.9.1.5. Determine mandate, mission, size, duration, and enforcement powers (T)
- 5.9.1.6. Train international and indigenous staff (T)
- 5.9.1.7. Provide infrastructure and technical assistance (T)
- 5.9.1.8. Ensure indigenous involvement and ownership of the process (T)
- 5.9.1.9. Ensure compatibility and coordination of commission with national and international mechanisms (T)
- 5.9.1.10. Deploy investigators; hold hearings (FS)
- 5.9.1.11. Collect testimony (FS)
- 5.9.1.12. Prepare report and recommendations (FS)
- 5.9.1.13. Provide restitution, reparations, and compensation (FS)
- 5.9.2. Reparations
 - 5.9.2.1. Identify classes of eligibility (IR)
 - 5.9.2.2. Identify appropriate means and levels of reparations (T)
 - 5.9.2.3. Implement reparation measures (FS)
- 5.9.3. Public Outreach
 - 5.9.3.1. Establish broad public information programs to promote efforts for reconciliation (IR)
 - 5.9.3.2. Develop public access to information (IR)
 - 5.9.3.3. Dispel myths through educational curricula (T)
 - 5.9.3.4. Support programs that publicize and raise awareness of truth and reconciliation activities (T)

- 5.9.3.5. Secure, classify and release information to the public (T)
- 5.9.3.6. Evaluate reconciliation mechanisms; widely disseminate proceedings and documents produced by commission (FS)
- 5.10. Community Rebuilding
 - 5.10.1. Ethnic and Intercommunity Confidence Building
 - 5.10.1.1. Identify mediators with dispute resolution skills to build trust and cooperation (IR)
 - 5.10.1.2. Enhance participation through public outreach (IR)
 - 5.10.1.3. Identify and incorporate credible local leadership and others with moral authority in the process (IR)
 - 5.10.1.4. Create coordinating mechanisms among international mission, local leaders, NGOs (IR)
 - 5.10.1.5. Implement media campaign promoting tolerance (IR)
 - 5.10.1.6. Insulate peace building efforts from spoilers (IR)
 - 5.10.1.7. Provide reconciliation training and resources (T)
 - 5.10.1.8. Bring adversaries together where possible (T)
 - 5.10.1.9. Incorporate a wide range of stakeholders (T)
 - 5.10.1.10. Establish mutually beneficial resource-sharing arrangements (T)
 - 5.10.1.11. Organize recreational and educational activities (T)
 - 5.10.1.12. Provide technical and financial support to local leaders (T)
 - 5.10.1.13. Foster informal, indigenous mechanisms for dispute resolution (FS)

- 5.10.1.14. Provide resources for community development projects (including returnees, food security, housing, health, utilities, education) (FS)
- 5.10.1.15. Publicize successful confidence building programs (FS)
- 5.10.2. Religion and Customary Justice Practices
 - 5.10.2.1. Identify customary judicial practices, religious institutions and other leaders on local and national levels (IR)
 - 5.10.2.2. Identify role religious leaders play in reducing or promoting conflict (IR)
 - 5.10.2.3. Design community programs to support reconciliation based on religious and traditional practices (IR)
 - 5.10.2.4. Determine refugee, religious and legal requirements in case of birth, death or marriage (IR)
 - 5.10.2.5. Ensure participation of diverse religious elements (T)
 - 5.10.2.6. Rebuild places of worship and sacred sites (T)
 - 5.10.2.7. Implement traditional reconciliation mechanisms, such as purification rituals and reburial ceremonies (T)
 - 5.10.2.8. Create and implement faith-based initiatives to rebuild communities (FS)
 - 5.10.2.9. Encourage dialogue on role of customary justice and relationship with formal systems of justice (FS)
- 5.10.3. Assistance to Victims and Remembrance
 - 5.10.3.1. Provide localized counseling to victims (IR)
 - 5.10.3.2. Establish missing persons initiatives (IR)

- 5.10.3.3. Solicit funds and technical experts for identifying bodies and running missing persons programs (IR)
- 5.10.3.4. Implement counseling programs focusing on redress and post-violence trauma (T)
- 5.10.3.5. Create citizens' councils to establish memorials, scholarship funds, performances, and other commemoration activities (T)
- 5.10.3.6. Preserve memory through public activity and historical records (e.g., museums, archives, and oral histories) (FS)
- 5.10.4. Women
 - 5.10.4.1. Assess traditional role of women in society and their potential to contribute to reconciliation process (IR)
 - 5.10.4.2. Implement rape prevention and medical treatment procedures (IR)
 - 5.10.4.3. Support initiatives devised by women's groups (T)
 - 5.10.4.4. Encourage a gender-based approach in the work of civil society and government efforts (T)
 - 5.10.4.5. Implement laws against trafficking (T)
 - 5.10.4.6. Ensure women's rights and influence (FS)
- 5.10.5. Vulnerable Populations
 - 5.10.5.1. Assess needs of vulnerable populations (e.g., war-wounded, internally displaced persons (IDPs), refugees, raped, tortured, disabled, orphaned youth, minority interests) (IR)
 - 5.10.5.2. Deploy strategies for successful reconciliation of vulnerable populations (T)

- 5.10.5.3. Support local initiatives for addressing needs, developing initiatives (T)
- 5.10.5.4. Engage all sectors to move forward (T)
- 5.10.5.5. Assist communities in devising strategies for lasting integration and progress (FS)
- 5.10.6. Evaluating and Learning
 - 5.10.6.1. Debrief returned international professionals (T)
 - 5.10.6.2. Evaluate results and compare with similar cases (FS)
- 5.11. Public Information and Communications
 - 5.11.1. Disseminate Justice and Reconciliation Information
 - 5.11.1.1. Identify or establish outlets for international, national, and local news media (IR)
 - 5.11.1.2. Utilize media as public information tool to provide factual information and control rumors (IR)
 - 5.11.1.3. Issue effective press releases and timely provision of information services as needed in local languages (IR)
 - 5.11.1.4. Assist National Transitional Administration and/or National Government to inform public regularly (IR)
 - 5.11.1.5. Invest in the development of indigenous capacity (T)
 - 5.11.1.6. Train journalists, expand capacity of outlets, and improve interaction with local population and linkages with the international community (T)

Consolidated Essential Tasks Matrix-to-AUTL List

Appendix C consolidates the results of RAND’s ETM translation of the security technical sector into two lists. The first section provides a complete listing of the ARTs used in RAND’s ETM-to-ART translation process. The second section provides the results of RAND’s translation process for the security technical sector of the ETM.

Hierarchy of Army Tactical Tasks Used

- ART 1.1.1.1 Define the Operational Environment
- ART 1.1.1.3 Evaluate the Threat
- ART 1.1.4 Conduct Police Intelligence Operations
- ART 1.2.4 Support Sensitive Site Exploitation
- ART 5.1.1.2 Clear Obstacles
- ART 5.1.1.2.2 Conduct Route Clearance
- ART 5.3.4 Provide Explosive Ordnance Disposal Support
- ART 5.3.5.1 Provide a Screen
- ART 5.3.5.4 Conduct Area Security Operations
- ART 5.3.5.4.2 Conduct Convoy Security Operations
- ART 5.3.5.4.3 Conduct Route Security Operations
- ART 5.3.5.5 Conduct Local Security Operations
- ART 5.3.5.5.2 Establish Checkpoints
- ART 5.3.6.1 Provide Protective Services for Selected Individuals

ART 6.0	Combat Service Support
ART 6.1.1	Provide Subsistence (Class I)
ART 6.3.3	Conduct Mode Operations
ART 6.5	Provide Force Health Protection in a Global Environment
ART 6.10.3	Provide Engineer Construction Support
ART 6.13	Conduct Internment and Resettlement Activities
ART 6.13.1	Perform Enemy Prisoners of War/Civilian Internment
ART 6.14.1	Provide Interface/Liaison between US Military Forces and Local Authorities/Nongovernmental Organizations
ART 6.14.6	Establish Temporary Civil Administration (Friendly, Allied, and Occupied Enemy Territory)
ART 6.14.6.7	Provide Public Safety Support
ART 6.14.7	Conduct Negotiations With and Between Other Governmental and Nongovernmental Organizations
ART 7.7.2.2	Provide Law and Order
ART 7.7.2.2.4	Provide Customs Support
ART 8.3.1.1	Conduct Peacekeeping Operations
ART 8.3.1.2	Conduct Peace Enforcement Operations
ART 8.3.3	Conduct Security Assistance
ART 8.3.9	Conduct Arms Control Operations
ART 8.4.3.3	Conduct Civil Disturbance Operations

S/CRS ETM-to-AUTL Mapping

ART 1.1.1.1 (Define the Operational Environment)

- 1.1.1.3A. *Identify* and neutralize potential spoilers (IR)

ART 1.1.1.3 (Evaluate the Threat)

- 1.1.5.3A. *Identify*, gather and disband structural elements of belligerent groups (T)
- 1.4.3.1A. (I) *Identify*, secure and protect stockpiles of conventional, *nuclear, biological, radiological and chemical materials* (IR)
- 1.4.3.1B. (I) *Identify*, secure and protect stockpiles of *conventional, nuclear, biological, radiological and chemical materials* (IR)

ART 1.1.4 (Conduct Police Intelligence Operations)

- 1.1.4.3. Identify international arms dealers (IR)
- 1.4.5.1A. *Locate* and safeguard key *witnesses, documents and other evidence* related to key ongoing or potential U.S. investigations and prosecutions (IR)

ART 1.2.4 (Support Sensitive Site Exploitation)

- 1.4.5.1C. *Locate* and *safeguard* key witnesses, *documents and other evidence* related to key ongoing or potential U.S. investigations and prosecutions (IR)
- 1.4.3.1D. (I) *Identify, secure and protect* stockpiles of conventional, *nuclear, biological, radiological and chemical materials* (IR)

ART 5.1.1.2 (Clear Obstacles)

- 1.3.4.1A. Conduct emergency *de-mining* and UXO removal (IR)
- 1.3.4.2. Conduct mapping and survey exercises of mined areas (IR)
- 1.3.4.3. Mark mine fields (IR)
- 1.3.4.4. Identify and coordinate emergency [demining and UXO removal] requirements (IR)

- 1.3.4.5. Establish priorities and conduct de-mining operations (IR)
- 1.3.4.6A. Initiate large-scale *de-mining* and UXO removal operations (T)

ART 5.1.1.2.2 (Conduct Route Clearance)

- 1.2.2.3A. (I) Dismantle *roadblocks* and establish checkpoints (IR)

ART 5.3.4 (Provide Explosive Ordnance Disposal Support)

- 1.3.4.1B. Conduct emergency de-mining and *UXO removal* (IR)
- 1.3.4.6B. Initiate large-scale de-mining and *UXO removal* operations (T)

ART 5.3.5.1 (Provide a Screen)

- 1.2.1.1A. (I) *Establish border security*, including customs regime to prevent arms smuggling, interdict contraband (i.e., drugs and natural resources), prevent trafficking of persons, regulate immigration and emigration, and establish control over major points of entry (IR)

ART 5.3.5.4 (Conduct Area Security Operations)

- 1.5.1.1. (I) Protect government-sponsored civilian stabilization and reconstruction personnel (IR)
- 1.5.2.1. Protect contractor and NGO stabilization personnel and resources (IR)

ART 5.3.5.4.3 (Conduct Route Security Operations)/ART 5.3.5.4.2 (Conduct Convoy Security Operations)

- 1.3.1.2. Ensure humanitarian aid and security force access to endangered populations and refugee camps (IR)

ART 5.3.5.5 (Conduct Local Security Operations)

- 1.1.2.1. Provide security for negotiations among indigenous belligerents (IR)
- 1.1.5.2C. Ensure adequate health, food provisions, and *security* for belligerents (IR)
- 1.1.5.5. Ensure safety of quartered personnel and families (T)
- 1.3.1.1. Protect vulnerable elements of population (refugees, IDP, women, children) (IR)
- 1.3.1.3B. Establish and maintain order in refugee camps and *population centers* (T)
- 1.3.1.4. Provide interim security programs for at-risk populations (T)
- 1.4.1.2. (I) Protect and secure places of religious worship and cultural sites (IR)
- 1.4.1.3. (I) Protect private property and factories (IR)
- 1.4.2.1. (I) Protect and secure critical infrastructure, natural resources, civil registries, property ownership documents (IR)
- 1.4.2.2. (I) Secure records, storage, equipment and funds related to criminal justice and security institutions (IR)
- 1.4.3.1C. (I) Identify, *secure and protect* stockpiles of *conventional*, nuclear, biological, radiological and chemical materials (IR)
- 1.4.3.2. (I) Secure military depots, equipment, ammunition dumps and means of communication (IR)
- 1.4.4.1. (I) Protect and secure strategically important institutions (e.g., government buildings, museums, religious sites, courthouses, communications, etc.) (IR)

ART 5.3.5.5.1 (Establish Checkpoints)

- 1.2.2.3B.(I) Dismantle roadblocks and *establish checkpoints* (IR)

ART 5.3.6.1 (Provide Protective Services for Selected Individuals)

- 1.4.1.1. Protect key political and societal leaders (IR)
1.4.5.1B. Locate and *safeguard key witnesses*, documents and other evidence related to key ongoing or potential U.S. investigations and prosecutions (IR)

ART 6.0 (Combat Service Support)

- 1.5.1.2. Provide logistical support to sustain them [government-sponsored civilian stabilization and reconstruction personnel] in the field (IR)
1.5.2.2. Provide logistical support [to contractor and NGO personnel] (IR)

ART 6.1.1 (Provide Subsistence (Class I))

- 1.1.5.2B. *Ensure adequate health, food provisions*, and security for belligerents (IR)

ART 6.3.3 (Conduct Mode Operations)

- 1.2.2.2. Facilitate internal travel of key leaders (IR)

ART 6.5 (Provide Force Health Protection in a Global Environment)

- 1.1.5.2A. *Ensure adequate health*, food provisions, and security for belligerents (IR)

ART 6.10.3 (Provide Engineer Construction Support)

- 1.1.5.1. (I) Establish demobilization camps (IR)
- 1.1.5.6. (I) Decommission camps (FS)

ART 6.13 (Conduct Internment and Resettlement Activities)

- 1.3.1.3A. *Establish and maintain order in refugee camps and population centers* (T)

ART 6.13.1 (Perform Enemy Prisoners of War/Civilian Internment)

- 1.3.2.2. Supervise incarceration processes and transfer to prison facilities (IR)

ART 6.14.1 (Provide Interface/Liaison between US Military Forces and Local Authorities/Nongovernmental Organizations)

- 1.1.1.5. Engage indigenous forces capable of promoting immediate stability (IR)

ART 6.14.6 (Establish Temporary Civil Administration (Friendly, Allied, and Occupied Enemy Territory))

- 1.2.1.3. Begin transfer of border, port and airport control to indigenous actors (FS)
- 1.2.2.1. Establish and disseminate rules relevant to movement (IR)
- 1.2.2.4. Regulate air and overland movement (IR)
- 1.2.2.8. Transfer responsibility [for freedom of movement] to indigenous actors (FS)
- 1.2.3.1A *Establish identification regime* including securing documents relating to personal identification, property ownership, court records, voter registries, birth certificates and driving licenses (IR)

- 1.2.3.1B *Establish* identification regime including *securing documents* relating to personal identification, property ownership, court records, voter registries, birth certificates and driving licenses (IR)
- 1.2.3.2. Develop mechanisms for dealing with long term disputes relating to property ownership, court records, etc. (T)

ART 6.14.6.7 (Provide Public Safety Support)

- 1.3.2.4. Mentor indigenous police forces (T)
- 1.3.2.5. Transfer public security responsibilities to indigenous police force (FS)
- 1.3.3.4. Transfer public security responsibilities to indigenous police force (FS)
- 6.2.1.1. Vet and reconfigure existing policy forces (IR)
- 6.2.1.3. Deploy police monitors/mentors/trainers (IR)

ART 6.14.7 (Conduct Negotiations With and Between Other Governmental and Nongovernmental Organizations)

- 1.1.1.4. Negotiate terms for exchange of prisoners of war (IR)
- 1.1.4.1. Negotiate arrangements with belligerents (IR)
- 1.6.5.1. Negotiate or modify regional security arrangements with all interested parties (IR)
- 1.6.5.2. Negotiate the enhancement of cross border controls and security (IR)

ART 7.7.2.2 (Provide Law and Order)

- 1.3.2.1. Perform civilian police functions including investigating crimes and making arrests (IR)
- 1.3.3.2. Conduct special police operations requiring formed units, including investigations and arrests (IR)

ART 7.7.2.2.4 (Provide Customs Support)

- 1.2.1.1B. (I) *Establish* border security, including *customs regime* to prevent arms smuggling, interdict contraband (i.e., drugs and natural resources), prevent trafficking of persons, regulate immigration and emigration, and establish control over major points of entry (IR)

ART 8.3.1.1 (Conduct Peacekeeping Operations)

- 1.1.1.2. Supervise disengagement of belligerent forces (IR)
- 1.1.1.7. Monitor exchange of POWs (T)
- 1.1.1.8. Transfer monitor requirements to indigenous security institutions (FS)
- 1.1.2.2. Develop confidence-building measures between indigenous belligerents (IR)
- 1.1.2.4. Investigate alleged breaches of agreements (T)
- 1.1.2.6. Support confidence-building measures amongst belligerents (T)
- 1.1.2.8. Support and sustain confidence-building measures (FS)

ART 8.3.1.2 (Conduct Peace Enforcement Operations)

- 1.1.1.1. Enforce ceasefires (IR)
- 1.1.1.3B. Identify and *neutralize* potential spoilers (IR)
- 1.1.1.6. Establish and control buffers, including demilitarized zones (T)
- 1.1.2.5. Support and enforce political, military, and economic terms arrangements (T)
- 1.1.2.7. Transfer enforcement requirements to indigenous authorities (FS)
- 1.1.4.2. Establish and enforce weapons control regimes, including collection and destruction (IR)
- 1.1.4.4. Provide reassurances and incentives for disarmed faction (IR)

- 1.1.4.5. Establish monitoring regime (IR)
- 1.1.4.6. Disarm belligerents (T)
- 1.1.4.7. Reduce availability of unauthorized weapons (T)
- 1.1.4.10. (I) Secure, store, and dispose of weapons (FS)
- 1.1.5.4. Monitor and verify demobilization (T)
- 1.2.2.5. Ensure freedom of movement (IR)
- 1.2.2.7. Provide full freedom of movement (FS)

ART 8.3.3 (Conduct Security Assistance)

- 1.1.3.5. Train and equip indigenous military forces (T)
- 1.1.3.8. Provide conventional military assistance programs (FS)
- 1.1.3.9. Establish military-to-military programs with the host country's forces (FS)
- 1.1.4.11. Develop indigenous arms control capacity (FS)
- 1.2.1.2. Train and equip border security personnel (T)
- 1.2.2.6. Develop indigenous capacity to assure and regulate movement (T)
- 1.3.4.8. Train and equip indigenous de-mining elements (T)
- 1.3.4.9. Transfer de-mining and UXO removal operations to indigenous actors (FS)
- 1.4.1.4. Create indigenous capacity to protect private institutions and key leaders (T)
- 1.4.2.3. Create indigenous capacity to protect critical infrastructure (T)
- 1.4.3.3. Create indigenous capacity to protect military infrastructure (T)
- 1.4.3.4. Identify [military infrastructure] modernization needs and means to achieve them (FS)
- 1.4.4.2. Create indigenous capacity to protect public institutions (T)

- 1.5.1.3. Create indigenous capacity to protect government-sponsored civilian stabilization and reconstruction personnel (T)
- 1.5.2.3. Create indigenous capacity to protect contractor and NGO stabilization personnel and resources (T)

ART 8.3.9 (Conduct Arms Control Operations)

- 1.1.4.8. Collaborate with neighboring countries on weapons flows, including apprehension of illegal arms dealers (T)

ART 8.4.3.3 (Conduct Civil Disturbance Operations)

- 1.3.3.1. Control crowds, prevent looting and manage civil disturbances (IR)

No ARTs Covering DDR Operations

- 1.1.3.1. Implement plan for disposition of indigenous armed forces and other national security institutions (IR)
- 1.1.3.2. Identify future roles, missions and structure (IR)
- 1.1.3.3. Vet senior officers and other individuals for past abuses (IR)
- 1.1.3.4. Coordinate and integrate with DDR plans (IR)
- 1.1.3.6. Establish transparent entry, promotion, and retirement systems (T)
- 1.1.3.7. Establish programs to support civilian oversight of military (T)
- 1.1.5.3B. Identify, *gather and disband* structural elements of belligerent groups (T)
- 1.1.6.1. Design reintegration strategy, including assessment of absorptive capacity of economic and social sectors (IR)
- 1.1.6.2. Provide jobs, pensions or other material support for demobilized forces (IR)

- 1.1.6.3. Coordinate with overall political and economic recovery plans (IR)
- 1.1.6.4. Provide job training, health screening, education, and employment assistance for demobilized forces (T)
- 1.1.6.5. Reintegrate ex-combatants into society (FS)
- 1.1.6.6. Provide follow-up services for reintegration (FS)

ETM Tasks That Are Not AUTL Appropriate Tasks

- 1.1.2.3. Conduct counterinsurgency operations (IR)

ETM Tasks for Which There Are No Appropriate Army Tactical Tasks

- 1.1.4.9. Cooperate with legal authorities to prosecute arms dealers (T)
- 1.3.2.3. Maintain positive relations with indigenous population (T)
- 1.3.3.3. Maintain positive relations with indigenous populations (T)
- 1.3.4.7. Promote mine awareness (T)
- 1.6.1.1. Develop integrated command, control and intelligence (C2I) and information sharing arrangements between international military, constabulary and civilian police forces (IR)
- 1.6.1.2A. *Determine rules of engagement; clearly define roles and responsibilities, including custody/transfer of detainees (IR)*
- 1.6.1.2B. *Determine rules of engagement; clearly define roles and responsibilities, including custody/transfer of detainees (IR)*
- 1.6.2.1. Provide integrated intelligence support for international military, constabulary and civilian police forces (IR)

- 1.6.3.1. Develop coordinated C2I arrangements between international and indigenous security forces (IR)
- 1.6.4.1. Develop coordinated military and civilian C2I and information sharing arrangements (IR)
- 1.6.5.3. Consult with neighboring countries on border security plans (IR)
- 1.6.5.4. Establish mechanisms for implementing regional security arrangements (T)
- 1.6.5.5. Monitor compliance with and reinforce arrangements (FS)

ETM Tasks That Are Not Army Tactical Tasks

- 1.1.3.10. Sustain international support (FS)
- 1.1.7.1. Implement plan for disposition of indigenous intelligence services and other national security institutions (IR)
- 1.1.7.2. Identify future roles, missions and structure (IR)
- 1.1.7.3. Vet individuals for past abuses and activities (IR)
- 1.1.7.4. Coordinate and integrate with DDR plans (IR)
- 1.1.7.5. Assist in and monitor the rebuilding and reorganization of official national security institutions (T)
- 1.1.7.6. Promote civilian control (T)
- 1.1.7.7. Establish transparent entry, promotion, and retirement systems (T)
- 1.1.7.8. Establish service-to-service programs with the host country's services (FS)

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